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Navy definitions of leadership and LMET/NAVLEAD competency clusters compared to selected leadership theories

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THESIS

NAVY DEFINITIONS OF LEADERSHIP AND
LMET/NAVLEAD COMPETENCY CLUSTERS
COMPARED TO SELECTED LEADERSHIP THEORIES

by

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December 1995

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This study examines the leadership training model used in the US Navy and investigates the way the Navy looks at and defines leadership in general. The emphasis is placed on leadership training for commissioned officers. The objective is dual; first, to make explicit the Navy's concept and definition of leadership, and second, to examine and analyze the leadership training program LMET/NAVLEAD content, as designed by McBer. Then, both the Navy definition of leadership and the LMET/NAVLEAD content are compared to selected popular theories of leadership in order to find out how congruent they are with those theories.

Findings from the study seem to support the conclusion that the core curriculum for officer training in the Navy, as represented by the LMET/NAVLEAD training courses, is not very congruent with the selected leaderhip theories. In contrast, findings regarding convergence between Navy definitions of leadership and leadership theories shows a strong tie between the definitions and the selected theories.

Based upon the research results, it is recommended that a comprehensive evaulation of the leadership training be conducted to determine the overall effectiveness, in order to make a decision regarding the optimal material mix which should be included in such training that uniformly fits the Navy's present definition, needs and requirements.

Finally, several suggestions for improving the effectiveness of the Navy leadership training are offered.

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NAVY DEFINITIONS OF LEADERSHIP AND LMET/NAVLEAD COMPETENCY CLUSTERS COMPARED TO SELECTED LEADERSHIP THEORIES

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This study examines the leadership training model used in the US Navy and investigates the way the Navy looks at and defines leadership in general. The emphasis is placed on leadership training for commissioned officers. The objective is dual; first, to make explicit the Navy's concept and definition of leadership, and second, to examine and analyze the leadership training program LMET/NAVLEAD content, as designed by McBer. Then, both the Navy definition of leadership and the LMET/NAVLEAD content are compared to selected popular theories of leadership in order to find out how congruent they are with those theories.

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I. INTRODUCTION

Two hundred years ago, the Arabian Peninsula was inhabited by many different tribes. These tribes lived a very traditional existence that revolved around tribal law. Illiteracy predominated, thus the only means of maintaining a record of important events, meaningful ideas and values was via the oral tradition -- poetry/stories -- that members of the tribe could memorize and pass-on from generation to generation. When a prominent member of the tribe died, the poet laureate composed a poem expressing the tribe's sorrow and sadness. In addition to mentioning all the good traits and characteristics of the deceased, the poet stated (in a literal translation):

> Some spirits disappear and with them their fame and pinnacle, while other spirits disappear and leave their fame and pinnacle alive and standing in a place where it will be forever a reminder of the past.

The poem goes on to say that before someone's death one can see all the *ALWAFA*, which is a well-recognized word in Arabic culture meaning trustworthiness, commitment and fidelity, while after someone's death one can see that their death was good and for the benefit of everyone. By using this descriptive analogy, the Bedouin poet sought to tell his tribe members about *ALWAFA* and other complimentary characteristics that accompany it. The poet, and all other senior tribe members, past and present, thought of these characteristics as indispensable to the respect of the entire tribe, which was an essential factor in leading the tribe to success and the summit of fame.

What the Bedouin poet described and acknowledged as important was leadership. Yet, if you asked him to define leadership, however, he would respond that he "would know it when he saw it." This is because leadership is an elusive concept that is far easier to describe in poetic terms than define.

Throughout history, from the Peloponnesian War in 415 BC to the recent Persian Gulf War, there has been systematic documentation illustrating the crucial role that individual leaders play in determining victory or defeat. Today's US Navy is no exception. Fulfilling the Navy mission requires the commitment of highly trained and

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motivated personnel, not only to operate and maintain complex weapons systems, but to lead. Human beings have been the decisive factor in the past, and remain so in the present. No matter how skilled they become in technical subjects or how specialized in a particular field, it is inevitable that personnel must work and associate with one another. In order to achieve a cohesive relationship between the various personnel engaged in an activity, there must be leaders who are able to obtain the best performance from Navy personnel.

Leading effectively, and thereby achieving superior organizational performance, is not an easy thing to do. There are many theories regarding leadership, and they do not agree on any one specific definition. Each perspective on leadership, however, recognizes and stresses the importance of training in developing leadership skills.

Leadership is a subject that has been discussed and reviewed in many different terms in numerous works. It has been argued that leaders are either born or that leaders are developed through a continuous process of self-study, education, training, and experience.

Acknowledging that effective leadership plays a vital role in the strength of the military, the Navy has taken the position that leaders can "be made" and that leadership, like the flag of command, can be handed down through generations of Navy personnel. Based on this belief, leadership training programs have been developed and have evolved into the Navy's current inventory of leadership training mechanisms.

Good leadership and efficient mission accomplishment are inseparable goals. They go hand in hand, and require qualities such as knowledge, skill, expertise, personality, and the cognitive ability to analyze, sort and choose between alternative courses of action. Good leaders practice the art of using each factor alone and in combination, in accordance with circumstances as they exist at the time. It is important to emphasize that superior leadership is ultimately measured not only by individual career advancement and leadership training, but by the ability of the Navy as an organization to successfully and efficiently carry out its national defense policy.

A.   RESEARCH OBJECTIVES

The goal of this thesis is to describe and analyze the Navy's definition of leadership and explore the content of its leadership training programs. Specifically, the Navy Leadership and Management Education and Training (LMET) and the Navy Leadership Development (NAVLEAD) programs will be examined in their original form according to the McBer study in an attempt to compare course content to established Navy leadership philosophy. An additional comparison will be made between the traditional view of Naval leadership, the content of the LMET/NAVLEAD programs, and popular leadership theories that have been developed in the private sector.

In attempting to meet the primary research goals cited above, several subsidiary research questions arise:

1.   How is leadership defined in the Navy?

2.   What is the content of the leadership training courses (LMET/NAVLEAD)?

3.   Is the definition of leadership in the Navy congruent with private sector leadership theories?

4.   To what extent are the leadership courses attended by Naval officers in congruence with private sector leadership theories?

Results of this investigation should include conclusions about the level of congruence between the Naval leadership tradition and the core curriculum of leadership training in today's Navy, as well as between leadership theory in the Navy and in the private sector. Additionally, review of findings may provide justification for a more empirical study of the results of leadership training.

B.   SCOPE AND METHODOLOGY

The results of leadership training (i.e., Does attendance at LMET/NAVLEAD training result in increased capacity for leadership? Are the leadership needs of the Navy being met by LMET/NAVLEAD training?) are beyond the scope of this thesis.

Leadership has been a popular subject in the writings of career Naval officers, including some of the more lauded figures in US Naval history. This body of knowledge,

combined with the wealth of information to be found in official Navy publications, comprises the author's source for information about the Navy's tradition of leadership.

The scope of the present work is limited to examining the courses' content at the core of Naval leadership training, LMET/NAVLEAD. To eliminate confusion, the courses will be considered as originally designed, though they exist in the ever-changing environment of the Navy culture, and can be expected to have evolved over time. Focusing on the development and content of the courses, however, and relying upon the work done by the civilian contractor employed to develop the curriculum (McBer and Company), will make it possible to most accurately describe the theoretical basis of the course content as it was initiated in 1979. It is the theory exhibited in the development of the NAVLEAD/LMET courses which is of interest at present, in order to provide a basis for determining whether that theory reflects the Naval tradition of leadership and which of the private-sector theories to which it bears resemblance.

During the research process, review of the available documentation on the LMET/NAVLEAD courses was supplemented with phone contact with key personnel in the Chief of Naval Education and Training (CNET) office, the Command (CNET) in Florida and the Naval Leader Training Unit (NLTU) in San Diego to clarify issues.

Chapter II presents background information on leadership training in the Navy, as well as summary information on several leadership theories that have been developed in the private sector. Leadership training in the Navy is surveyed from its existence prior to World War II, when the common view held that leaders were "born, not made" and that those individuals most adept in leadership skills would rise to the top, to the present, where the emphasis is on "training, training, and more training", and leadership skills are held to be a key component of the Navy's training inventory. The second section of the chapter is not intended to be an exhaustive examination of leadership theory as developed in the private sector, but rather a survey of its more popular examples from which key identifying characteristics can be obtained.

Chapter III focuses on Naval leadership and leadership training. The first section of the chapter is devoted to a discussion of the various Navy publications and published

writings that refer to the tradition of Naval leadership that serves to identify the key elements of a working definition of Naval leadership. This definition will compare or contrast to the essential theories encompassed by the course content of the LMET/NAVLEAD programs, which are presented in the second section of the chapter.

Chapter V presents findings regarding the second major research area of this thesis: the similarities and differences to be found between the Navy definition of leadership and the content of the LMET/NAVLEAD courses and the substantive elements of private-sector leadership theory. Conclusions and recommendations are presented in Chapter VI.

II.   LEADERSHIP THEORIES IN THE PRIVATE SECTOR

In this section, a compendium of leadership theories and leadership styles will be presented in order to place the subject of leadership in perspective, later allowing for examination of contemporary approaches to leadership training programs, leadership styles and factors determining what makes an effective leader. Since there is no comprehensive or complete leadership theory in existence, the author chooses to refer to several selected theories of leadership and style that were predominant and recognized at the time of McBer's study. Yet, some newer theories such as Multiple Linkage Framework, Transformational and Blade are included as well. The purpose is to set forth the basis for comparison and matching of both the Navy's definitions of leadership and the LMET/NAVLEAD courses to the theories of leadership discussed below.

A.   GREAT MAN AND TRAIT THEORIES

"Leaders are born and not made." [Ref. 1:p. 225] This concept was formalized by Carlyle in his 1846 essay on heroes. Carlyle proposed the "Great Man" theory of leadership. This theory implied that training in leadership was not a subject that was worth considering, since there was a strong belief that leadership qualities were solely a function of heredity and only those who were exceptional and born with those qualities could be expected to perform in leadership positions. According to this theory, identifying leaders was easy -- one had only to look for the people who occupied leadership positions. What made these people good leaders, however, was unknown. Advocates of trait theory attempted to explore the issue by conducting a study in the late 1920s to measure the personality and character of individuals who had reached positions of leadership. Traits and personal characteristics continued to be the focus of academic research through World War II. The main theme of the research focused on separating leaders from non-leaders based on the presence or absence of certain traits.

The trait theory implied that only those who were identified as leaders and displayed certain qualities could be trained in leadership. Non-leaders could not benefit from training in leadership. The outbreak of World War II caused this point of view to

change. Military manpower requirements went from 200,000 before the start of the war to nearly six million by 1943. [Ref. 2:p. v] As a result, review of leadership traits became standard course content in officer training.

The view that leaders were born was not popular in America because of the prevailing attitude that 'anyone could become President'. Personal characteristics, however, still seemed important and revealed an interesting phenomenon. Stogdill's 1948 study cited a survey that was contradictory with respect to the traits associated with effective leadership, in that the traits of leaders identified did not correlate to those that were held to be essential for good leadership ability. Leaders were expected to exhibit traits relating to capacity, achievement, responsibility, participation, and status, but Stogdill argued that the missing ingredient in this traditional view of leadership traits was the effect of the situation upon the individual. In other words, the situation itself might cause otherwise "ordinary" people to exhibit profound leadership ability, while the factors at work in a situation might also cause someone who exhibited all of the traditional leadership traits to fall short of the level of leadership required. In elaborating on the addition of this new factor he stated:

> A person does not become a leader by virtue of the possession of some combination of traits, but the pattern of personal characteristics of the leader must bear some relevant relationship to the characteristics, activities, and goals of the followers. This leadership must be conceived in terms of the interaction of variables which are in constant flux and change. The factor of change is especially characteristic of the situation... It becomes clear that an adequate analysis of leadership involves not only a study of leaders, but also of situations. [Ref. 3:p. 63]

Stogdill's situational view was different from the pure situational theories of the time. The pure situationalist suggests that leadership does not "reside in a person but is a function of the occasion. The situation calls for certain types of action; the leader does not inject leadership, but is the instrumental factor through which a solution is achieved." [Ref. 3:p. 18]

What Stogdill pointed out was a need to look at the interactive effects of both situational and personal factors. A number of researchers have elaborated on this

interaction by proposing various sets of factors. In a survey of 163 additional studies, Stogdill emphasized the need to consider both factors. He added more leadership characteristics to the list in an effort to modify the pure situational theories. This addition resulted in the combination of factors which exist today and are commonly referred to as the situational or interaction approach. Hersey and Blanchard summarized this approach by simply saying that the most important factor in the leadership equation is not the presence or absence of traits but, rather, how they are expressed in the behavior of the leader:

> The focus in the situational approach to leadership is on observed behavior, not on any hypothetical inborn or acquired ability or potential for leadership. The emphasis is on the behavior of leaders and their group members (followers) and various situations. [Ref. 4:p. 89]

B.   RENSIS LIKERT'S THEORY

Likert is a prominent figure in the empirical research domain and is best known for his influence on the Navy's Human Resource Management Support System. He designed the 88-item Human Resource Management Survey. The purpose of this survey was to measure the dimensions of command climate, supervisory leadership, peer leadership, and work group processes.

Rensis Likert's theory emphasizes the leaders' need to consider the human contributions to an organizations output. His study focused on the following:

1.   Identifying the leaders' role in the organization

2.   The influence of a leader

3.   The characteristics of the organization that are associated with various leadership styles

4.   Allocating cost to the human asset

Likert's Linking-Pin concept identifies the leader as a member of two groups -- subordinate in one, superior in another. However, within each group, for a leader to exercise an effective influence, he or she has to be perceived as a part of that group membership. Furthermore, the concept of the interaction-influence principle explains the

phenomenon of influence in terms of two variables. First, the more influence a leader has on his or her superiors, the greater his or her influence on the subordinates. Second, the more a leader is open to subordinates to a point that they influence him or her, the more influence he or she, in turn, exerts on them.

In his research, Likert attempted to find the answer to the question: What is the most effective management system? He later found four systems of management that are on a continuum. These systems are:

- System 1 (Exploitative -- Authoritative). No confidence or trust in subordinates. Top-down orientation of decision making, highly centralized management. Fear and punishment are typically employed to force greater production.

- System 2 (Benevolent -- Authoritative). Condescending attitude of managers towards subordinates. Some delegation of decision making from top of organization.

- System 3 (Consultative). Substantial, but not complete, trust in subordinates. Strategic decisions remain at top, day-to-day decisions made at lower levels. Rewards primarily used to motivate workers.

- System 4 (Participative -- Group). Complete trust and confidence in subordinates. Good communications in both directions allows for decentralized approach to decision making. Intrinsic rewards motivate employees. [Ref. 4:pp. 72-75]

Likert identifies the fourth system as the goal for all organizations to struggle toward, contending that as any organization attains System 4, productivity of the group increases as a result of an atmosphere of better communication and a more participative decision making process, which in turn establishes the required level of trust and confidence among all the members of the organization.

C. SITUATIONAL LEADERSHIP THEORY

Fiedler's theory of contingency fairly confirms the importance of the situation in determining leader effectiveness. However, some aspects of the situation have not been clearly examined by his theory.

Paul Hersey and Keneth H. Blanchard developed a situational leadership model that covers more situational aspects and explains the major components of emerging effective leadership. Hence, the message is loudly heard that there is "no one best style of leadership." Leadership has to meet the needs of the group and a successful leader has to adopt a style that fits the situational demands. This theory identifies the elements of effective leadership as:

- The ability to understand people's behavior and find out how and why they behave the way they do.

- The capability of predicting people's behavior on the job.

- The desire and willingness of accepting responsibilities in order to course the behavior of others towards accomplishing the tasks and reaching the targeted results. [Ref. 5:p. 20]

Consequently, the Model of the Situational Leadership has three dimensions as well. These are:

1. Task Behavior -- The amount of directive behavior provided.
2. Relationship Behavior -- The amount of supportive behavior provided.
3. Readiness levels of the followers.

The entire model is built on a curvilinear relationship that embraces the dimensions of the task, the relationship behaviors and the readiness levels of the followers when performing a certain task. Figure 1 depicts this relationship.

In this model the readiness level of the followers dictates the style of leadership. Readiness level is a function of a task required competence. Knowledge, skills, experience, commitment, confidence and motivation individually or collectively play a vital and significant role in this readiness. The theory postulates that as the readiness level of the followers increases (moves from right to left on the curvilinear graph) the appropriate behavior, or leadership style, should be changed accordingly. For example, a follower readiness at R1 level appears more likely in need for a leader who can provide specific instructions and sufficient direction. Hence, the "telling" style of leadership is more suitable in this case.

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As followers or individuals readiness grows and develops, the need for direction and close supervision diminishes and the need for support and guidance rises. However, after surpassing the midpoint, the curve begins to slope downwards to the left as readiness continues to increase and the followers or individuals need for support and direction continues to decrease as well. At the end of the continuum curve, to the left, the readiness level reaches its peak and the tasks will be delegated to a follower or individual who attains this distinguished level of readiness.

LEADER BEHAVIOR

HIGH	MODERATE		LOW
R4	R3	R2	R1
Able & Willing or Motivated	Able but Unwilling or Insecure	Unable but Willing or Motivated	Unable & Unwilling or Insecure
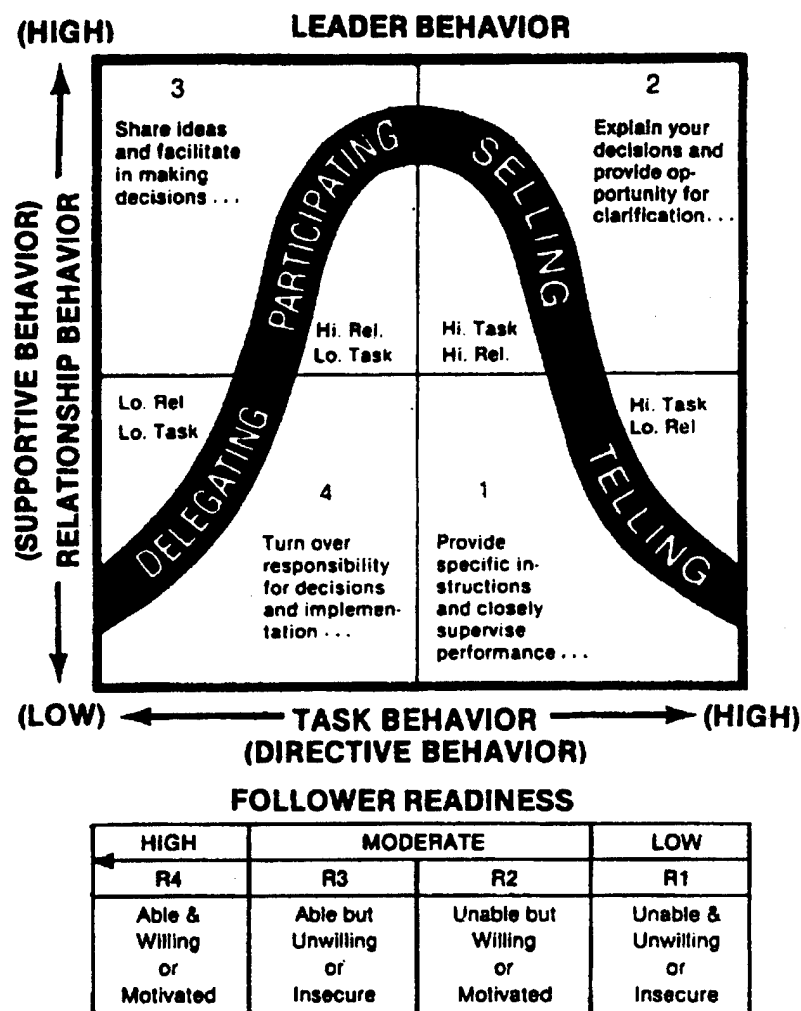
Figure 1. Situational Leadership Model [Ref. 7:p. 63]

The dimension of Task Behavior is defined as:

The extent to which leaders are likely to organize and define the roles of the members of their group (followers); to explain what activities each is

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to do and when, where, and how tasks are to be accomplished; characterized by endeavoring to establish well-defined patterns of organization, channels of communication, and ways of getting jobs accomplished. [Ref. 4:pp. 103-104]

The definition of the dimension of Relationship Behavior is:

The extent to which leaders are likely to maintain personal relationships between themselves and members of their group (followers) by opening up channels of communication, providing socio-emotional support, "psychological strokes," and facilitating behaviors. [Ref. 4:p. 104]

In summary, the theory incorporates the situational aspects in a meaningful way. A technique of selecting the appropriate leadership style based on the readiness level of the follower is given. Also, the theory implies that leaders should be trained and developed in order to ingrain flexibility and extend leadership adaptability and, hence, maintain effectiveness. However, Hersey and Blanchard contend that changing a leadership style is possible after training in situational leadership theory, but such change is not easy. "Changing the style of leaders is a difficult process, and one that takes considerable time to accomplish." [Ref. 4:p. 150]

D.   CONTINGENCY THEORY

Beginning in 1951, Fred E. Fiedler and Associates extended their efforts to integrate the situational theory into a comprehensive theory of leadership. The basic idea, which is of significant importance in this thesis, is that the leader match the program. The leader's personality must be matched with the situation most favorable to his or her success.

According to Fiedler, the leader has a relatively permanent personality trait, referred to as "Least Preferred Co-worker" (LPC), which is critically important to his or her effectiveness as a leader. Again, the trait does not have a precise definition, but it has been described as a behavioral tendency that could be motivated mainly toward either task accomplishment or personal relationships. Furthermore, the Contingency Model is based on two factors: the motivational style of the leader and the degree of situational

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control. The leader's motivational style is determined through the administration of an 18 item bipolar adjective scale, such as:

- Open/guarded
- Quarrelsome/harmonious
- Efficient/inefficient
- Self-assured/hesitant
- Gloomy/cheerful
- Boring/interesting

The Least Preferred Co-Worker Scale is central to the model. Fiedler describes its operation as:

> An individual who describes his or her least preferred co-worker in very negative and rejecting terms (a low LPC) [task motivated] in effect shows a strong emotional reaction to people with whom he or she cannot work...in effect, "if I can't work with you, you are no damn good!" This is the typical pattern of a person who, when forced to make the choice, opts first for getting on with the task and worries about his interpersonal relations later. Someone who describes even the least preferred co-worker in relatively more positive terms in effect looks at the individual not only as a co-worker but also as a person who might otherwise have some acceptable traits. The high LPC leader [relationship motivated] sees close interpersonal relations as a requirement for task accomplishment. [Ref. 6:p. 199]

The situation is defined as "the degree to which the situation provides the leader with power and influence." [Ref. 7:p. 295]

The favorableness of the situation for the leader is measured on three scales:

1. Leader-Member Relations -- Either good or poor it is the degree to which the leader is supported by the group.

2. Task Structure -- How clearly the task is defined with respect to goals and procedures, this dimension being structured or unstructured.

3. Position Power -- Strong or weak, it measures the degree to which the leader can reward and punish group members (subordinates).

The most unfavorable situation is one in which leader-member relations are poor, the task unstructured, and the leader has too little power.

Experiments conducted by Fiedler and others on groups ranging from field artillery NCO's to high school principals tend to suggest that a task-motivated leader is more likely to be effective in favorable situations and in very unfavorable situations. A relations-motivated leader, on the other hand, is more likely to be effective in moderately favorable situations. This model stresses the importance of the interaction between leader characteristics, follower characteristics, and the task. Further, it proves wrong the notion that there is only 'one best way' to lead, regardless of the situation. However, the approach has its problems and has been severely criticized by several authorities such as Hosking, Grane, Avares, Orris, and Martella. For example, the meaning of the LPC score and the fundamental assumption upon which it is based have been challenged. Two of the model's critical assumptions worth mentioning at this point that have implications for training are:

- Leader attributes are stable over time.

- All of the possible factors which determine the situation can be summed into the favorableness, or unfavorableness, dimension, with the number of variables being almost limitless.

Whether LPC was a personality measure, a motivational measure, both or neither was questioned. Is personality or motivation a fixed characteristic of a person or is it changing constantly or at least changeable? Questions of this type, and more, are being asked but, regardless, Fiedler's theory clearly establishes the importance of the situation in determining leader effectiveness.

The training implication, as stated earlier, stems from the second assumption -- that any number of variables can go into determining situational control. Training is such a variable. Fiedler maintains that:

> A leader's motivational orientation or personal style is likely to be relatively impervious to modification through short-term training. On the other hand, training might improve the leader's potential influence and control (i.e., the situational control of the job). [Ref. 8:p. 112]

Training, in other words, is a modifier of the situation. However, as a modifier it is not always with positive result. For example, if given a moderately favorable situation

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and a low LPC type leader, training can be predicted to improve the situation, thereby putting the low LPC leader in a favorable situation. The model predicts this as being the most advantageous for the leader and group performance. In the case of a high LPC leader in an unfavorable situation, training will help where it raises the situation to one of moderate favorableness. Nevertheless, the training negativity comes when the low LPC leader in an unfavorable situation moves into a moderately favorable situation where he loses the advantage. This is why Fiedler pointed out that training does not always result in improved group performance. The implication is for the leader is to receive additional training in order to move the situation to one of favorableness. However, when moving the situation through training is not feasible, Fiedler suggested that assignment to leadership positions be based on the individual's motivation and the situation. It seems impractical, probably impossible, to apply at lower command levels within the military, but one which is being used for senior grade (general officer) assignments.

E.   PATH-GOAL THEORY

Path-Goal Theory is an integrated approach that can be traced back to Georgopauls, Mohoney, and Jones in 1957. Its application to leadership is more recent. The basic idea is relatively simple, it is built around perception. If a group member perceives high productivity to be the easiest "path" to attain personal goals, then he or she will tend to be a high producer. On the other hand, if personal goals are obtained easily in other ways, the group member will not likely be a high producer. Therefore, the task of the group leader is to increase the personal rewards to subordinates for performance in order to make the paths to their goal clearer and easier.

The foundation of this theory uses two important situational or contingency variables:

1.   The personal characteristics of group members such as their skills, needs, and motives.

2.   The work environment which includes the degree of task structure, the nature of the formal authority system of the organization, and the work group itself [Ref. 9:p. 147].

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The Path-Goal Theory complexity lies in the fact that individual group member expectations are subjective and treated as probability estimates known as path instrumentalities. The first probability is referred to as the path instrumentality of work behavior for goal accomplishment. This is merely the answer to the question of whether work behavior will lead to goal accomplishment. The second is what is whether goal accomplishment will lead to what the group member wants. By integrating these probability estimates, the leader can influence group members and make sure that their probability estimate is not too low. This influence could occur in two forms. First, extrinsic rewards, such as bonuses, favorable assignments, time off, etc., which the leader largely has control over and determines. Second, intrinsic motivation where the leader allows group members the opportunity to exercise self-control over their own tasks, which the leader partially determines and could utilize toward the accomplishment of the goal.

F.   MULTIPLE LINKAGE FRAMEWORK

Yukl's Multiple Linkage Framework stands as a model that provides such an integrated framework which encompasses all the major variables discussed in other leadership theories, including leader traits, power, behavior, situational variables, intervening variables, and end result variables. As shown in Figure 2, the model suggests that subordinate effort and task skill, the leader role, the amount of resources and support available from the organization, and the cohesiveness and teamwork of the group are all intervening variables between leader behavior and group outcome.

According to Yukl, situational variables are divided into three basic categories:

1.   Variables acting as a constraint on the leader's behavior, such as schedules which might be put out by the staff and not the leader.

2.   Variables that affect intervening variables directly, such as skill level, task identity, task significance, and so on.

3.   Variables that influence the relative importance of the intervening variables, such as the reduction of the relative importance of subordinate effort due to automation, where less human energy is needed. [Ref. 10:p. 9]

All of these categories underline the significance of the linkages between and among situational variables, hence, the term "multiple linkages" is chosen to describe this conceptual framework.

The advocates of Yukl's Multiple Linkage Framework Model deem the model to be a guide and reference because it provides an integrating framework which captures the great diversity of behavior and encompasses the major variables discussed in other leadership theories. In addition to this model, Yukl developed behavioral taxonomies which, in his view, could be used for both classifying purposes and as a scale for measuring effectiveness. Yukl's behavioral taxonomies consist of 23 distinct behavioral categories which Yukl and his colleagues identified after an extensive seven year program of research. The taxonomies are shown in Table I and the 23 behaviors are defined in Table II.

LEADER CHARACTERISTICS	LEADER BEHAVIOR	INTERVENING VARIABLES	END-RESULT VARIABLES
traits skills competencies physical attributes	23 categories of behavior	subordinate characteristics group characteristics role characteristics external resources	productivity effectiveness psychological health development and growth

LEADER POWER	EXOGENOUS SITUATIONAL VARIABLES
5 bases 2 directions	task/technology characteristics organizational/legal/political factors

Figure 2. Integrating Framework for Research on Leadership Effectiveness [Ref. 10:p. 32]

G. ROLE THEORY

The Role Theory goes back as early as Jacobson, Charters, and Lieberman in 1951. The basic concept lies in the people's perception of their role, therefore the job behavior of people is partly a function of their perceptions as to their role. Hence, what is expected of them or what they are supposed to do is deemed important, too. However,

the theory goes on to state that role perception is influenced by written materials, such as rules, regulations, policies, procedures, and job descriptions. Oral communication, the environment, past experience, feedback, etc., also have influence as outside elements. Burke (1965) and Kahn and Quinn (1970) have added that the leader's own needs and values influence his or her role perceptions and manner of reacting to feedback.

Furthermore, Kahn and Quinn's (1964) research indicated that leader's superiors in the organization and the organization itself, including its tradition, have a major influence. In particular, when leaders encounter conflicting role demands, they are more responsive to their superior than they are to their subordinates. On the other hand, researchers, such as Pfeffer and Salancik (1975), agree with the superiors influence. However, they say that leaders may respond to superiors more with task behavior while responding to subordinates with social behavior. In summary, the overall result of the role theory is that leader's behavior is determined not only by the role perceptions, but by subordinate performance as well.

YUKL'S BEHAVIORAL TAXONOMY

DISSEMINATING INFORMATION
EMPHASIZING PERFORMANCE
STRUCTURING REWARD CONTINGENCIES
FACILITATING THE WORK
PLANNING
INNOVATING
PROBLEM SOLVING
MANAGING CONFLICT
REPRESENTING THE UNIT
MONITORING THE ENVIRONMENT
MONITORING OPERATIONS
CRITICISM
ADMINISTERING DISCIPLINE
DELEGATING
ENCOURAGING DECISION PARTICIPATION
GOAL SETTING
CLARIFYING WORK ROLES
TRAINING - COACHING
CAREER COUNSELING
SHOWING CONSIDERATION
FACILITATING COOPERATION AND TEAMWORK
PROVIDING PRAISE AND RECOGNITION
INSPIRING SUBORDINATES

Table I. Yukl's Behavioral Taxonomy [Ref. 10:p. 39]

DISSEMINATING INFORMATION -- The extent to which a leader keeps subordinates informed about decisions, events, and developments that affect their work.

EMPHASIZING PERFORMANCE -- The extent to which a leader emphasizes the importance of subordinate performance and encourages subordinates to make a maximum effort.

STRUCTURING REWARD CONTINGENCIES -- The extent to which a leader rewards effective subordinate performance with tangible benefits, such as a pay increase, promotion, better assignment, better work schedule, extra time-off, etc.

FACILITATING THE WORK -- The extent to which a leader provides subordinates with any supplies, equipment, supportive services, and other resources necessary to do their work effectively.

PLANNING -- The extent to which a leader plans in advance how to efficiently organize and schedule the work, coordinate work unit activities, accomplish task objectives, and cope with potential problems.

INNOVATING -- The extent to which a leader looks for new opportunities for the work unit to exploit, proposes new activities to undertake, and offers innovative ideas for strengthening the work unit.

PROBLEM SOLVING -- The extent to which a leader takes prompt and decisive action to deal with serious work-related problems and disturbances.

MANAGING CONFLICT -- The extent to which a leader discourages unnecessary fighting and bickering among subordinates and helps them settle conflicts and disagreements in a constructive manner.

REPRESENTING THE UNIT -- The extent to which a leader promotes and defends the interest of his/her work unit and takes appropriate action to obtain necessary resources and support for the work unit from superiors, peers, and outsiders.

MONITORING THE ENVIRONMENT -- The extent to which a leader keeps informed about outside events that have important implications for his/her work unit.

MONITORING OPERATIONS -- The extent to which a leader keeps informed about the activities within his/her work unit and checks on the performance of subordinates.

CRITICISM -- The extent to which a leader criticizes specific acts of subordinates which are unacceptable to the organization, finds positive things to say, and provides opportunities for subordinates' explanations.

ADMINISTERING DISCIPLINE -- The extent to which a leader takes appropriate disciplinary action to deal with a subordinate who violates a rule, disobeys an order, or has consistently poor performance.

DELEGATING -- The extent to which a leader delegates responsibility and authority to subordinates and allows them discretion in determining how to do their work.

ENCOURAGING DECISION PARTICIPATION -- The extent to which a leader consults with subordinates before making work-related decisions and otherwise allows subordinates to influence his/her decisions.

GOAL SETTING -- The extent to which a leader, either alone or jointly with a subordinate, sets specific, challenging, but realistic, performance goals for each important aspect of the subordinate's job.

CLARIFYING WORK ROLES -- The extent to which a leader informs subordinates about their duties and responsibilities, clarifies rules and policies, and lets subordinates know what is expected of them.

TRAINING COACHING -- The extent to which a leader provides any necessary training and coaching to subordinates or arranges for others to do it.

CAREER COUNSELING -- The extent to which a leader offers helpful advice to subordinates on how to advance their careers, encourages them to develop their skill, and otherwise manage their professional development.

SHOWING CONSIDERATION -- The extent to which a leader is friendly, supportive, and considerate in his/her behavior toward subordinates.

FACILITATING COOPERATION AND TEAMWORK -- The extent to which a leader emphasizes teamwork and tries to promote cooperation, cohesiveness, and identification with the group.

PROVIDING PRAISE AND RECOGNITION -- The extent to which a leader provides appropriate praise and recognition to subordinates with effective performance and shows appreciation for special efforts and contributions made by subordinates.

INSPIRING SUBORDINATES -- The extent to which a leader stimulates enthusiasm among subordinates for the work of the group and says things to build their confidence in the group's ability to successfully attain its objectives.

Table II. Definitions of the 23 Behaviors [Ref. 10:pp. 38-39]

H. TRANSACTIONAL THEORY

The concept of exchange is embodied in this theory. It mainly refers to the transaction between leader and follower. T.O. Jacobs clearly explains this idea as:

> Leaders act as organization representative by providing earned benefits to their followers, while at the same time guiding them toward satisfaction of organizational goal attainment needs. There is substantial evidence supporting the view that such transactions do underlie organizational membership, and that both organization and the members have expectations that must be met in order for the exchange to be considered fair. [Ref. 11:p. 96]

From this perspective, it can be seen that a failure to meet the expectation of either side (leader/follower) will result in a dissatisfaction that may terminate the relationship or modify it until an equitable exchange is achieved again. Therefore, reward is considered to be the critical benefit that has to be exchanged, where the group expects certain behavior from its leader where it awards with esteem, influence, etc. On the other hand, the leader expects productivity from the group which, in turn, contributes to the group's/individual's needs and accelerates reaching the self-esteem and self-actualization stage that acts as an important reward.

Hollander explains his perception of transactional leadership as:

> It is necessary to look at the leader-follower relationship, and not at the leader. A fuller view of leadership needs to include followers and their responses to the leader. This process forms the basis for the transactional perspective, or approach to leadership. [Ref. 12:p. 1]

Hollander shares a similar point-of-view of the exchange theory with Jacobs, except that he emphasizes a "fair exchange" of benefits and rewards between leader and follower.

In contrast, James McGregor Burns argues that leadership can be understood best as either a transactional or transformational process. He describes leadership as:

> ...[O]ccurring when one person takes the initiative in making contact with others for the purpose of an exchange of valued things...Each party to the bargain is conscious of the power resources and attitudes of the other. Each person recognizes the other as a person. The bargainers have no

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enduring purpose that holds them together; hence they go their separate ways. A leadership act took place, but it was not one that binds leader and follower together in mutual and continuing pursuit of a higher purpose. [Ref. 13:p. 19]

Burns described the transactional relationship as short-lived by nature, where leader and follower have to move on as needs are met. He stated that "the transactional gratification itself may be a superficial and trivial one." [Ref. 13:p. 258]

I.   TRANSFORMATIONAL THEORY

James McGregor Burns, a political scientist, developed the concept of transformational leadership. He looks at leadership from an angle different from the behavioral science perspective. Burns defines transformational leadership as follows:

> Transforming leadership, while more complex [than transactional], is more potent. The transforming leader recognizes and exploits an existing need or demand of a potential follower. But, beyond that, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation and evaluation that converts followers into leaders and may convert leaders into moral giants. [Ref. 13:p. 4]

According to Burns, the notion of transformational leadership is distinct from transactional leadership and yet related to it. Meanwhile, a leader could be both transformational and transactional at the same time with differing amounts of concerns and intensities. Burns sees that a transformational leader has to first realize the existing needs of his followers in terms of their self-interest and cost-benefit exchange theorem (transactional) and, again, still has to go beyond this concept in order to elevate the followers needs to the highest level of morality and motivation. What differentiates transformational from transactional leaders is:

> The transformational leaders are more likely to be proactive than reactive in their thinking; more creative, novel and innovative in their ideas; more radical or reactionary than reforming or conservative in ideology; and less inhibited in their ideational search for solutions. Transactional leaders may be equally bright but their focus is on how to best keep the system running for which they are responsible -- reacting to problems generated by observed deviance's, looking to modify conditions as needed and

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remaining ever mindful of the organizational constraints within which they must operate. [Ref. 14:p. 105]

The transformational leadership theory consists of three components:

- Charisma (including inspiration)
- Individual consideration
- Intellectual stimulation

The components of charisma (including inspiration) demands the transforming leader to be able to inspire the followers needs for achievement and yet win their loyalty while communicating a vision that through their efforts would be converted into reality.

Furthermore, the transforming leader is expected to provide individual care and consideration to his/her followers by expressing appreciation for a job well done, offering opportunities to learn, grow and develop in order to utilize the subordinates special talents, and promoting followers self-confidence and trust.

Finally, through charisma and individual consideration, the transforming leader intellectually stimulates extra effort among his/her followers to conceptualize, comprehend and discern the nature of the problems they encounter. Hence, the solution comes about to be creative and contain innovative ideas that will bring the wanted change into effect.

In summary, according to Bass, transformational leaders "work themselves out of a job to the extent that they elevate their subordinates into becoming self-actualized, self-regulated, and self-controlled. The transforming leaders provide the highest standards of performance and accomplishment and the inspiration to reach such standards. To the degree their followers become self-actualizing, the achievements become self-reinforcing." [Ref. 14:p. 16]

J. THEORY X AND THEORY Y

One of the humanistic classical theories that had a substantial impact on behavioral science research is McGregor's Theory X and Theory Y. This theory has contributed to the study of management and leadership in general and military leadership and leadership styles specifically.

The theme of the theory is built around the presumption that an individual's leadership style will vary according to the beliefs or assumptions he may have regarding behavior and human nature. For instance, the assumptions of Theory X are:

1.   The belief that people have an inherent distaste for work and will try to avoid it if possible.

2.   People have to be controlled; directed; and sometimes coerced, or otherwise punished in order to get them to accomplish their tasks.

3.   The perception that the average human being is lazy; just wants security; has little or no ambition; needs direction; and is unwilling to accept responsibility.

4.   People have no motivational drive except the physiological and safety ones.

In this case, leaders who ascribe to these perceptions and beliefs would tend to justify the indigent organizational performance by accusing the workers. Therefore, these leaders are more likely to control and supervise closely subordinates relying on their high position and authority.

Theory Y, on the other hand, states:

1.   People will make an effort in the workplace, because they see work as natural as play or rest.

2.   The overall perceptions are positive, and hence, there are other ways and means of controlling and directing people toward achieving the organizational objectives without resorting to the use of external control and punishment.

3.   People are motivated and committed to objectives through the extrinsic rewards of sense of accomplishment and self-esteem.

4.   People on the average are willing to accept and seek responsibility.

5.   On a wide-scale, people have the capacity and the capability of being imaginative, ingenious and creative when solving everyday organizational problems.

Consequently, leaders who subscribe to the above assumptions or beliefs enjoy a greater, practical flexibility without finding themselves restricted to only one leadership

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style. It is the leader's choice to determine the appropriate style that he or she sees fit in order to maintain the necessary control over subordinates and commit them to the organizational goals while ensuring overall efficiency.

A primary important point in Theory Y is the concept of integration. Integration is an environment where cooperation and sense of belonging are prevalent, and subordinates are encouraged to realize their own goals by working towards the organization. Theory Y, however, does not suggest a lenient leadership as those who misunderstand the theory assume. In contrast, Theory Y grants the organization a chance to grow through effectively utilizing all the required resources while preserving a supportive, trusted employee relationship and by not wasting time and effort on excessive control of employees as Theory X postulates.

Finally, Blake and Mouton advise that training in both Theory X and Theory Y principles is necessary for a leader who wants to shift his style and adopt a Theory Y concept. They propose that training makes it possible for leaders to:

> evaluate their own actual situation to determine the extent to which it approximates the assumptions contained in Theory X, as contrasted with those in Theory Y. Once the theory-versus-practice analysis has been completed, causes for the differences are identified." [Ref. 15:p. 78]

K. BLADE

Blade, in *Rules for Leadership,* stated that study and practice of leadership is centuries old. Every generation has had excellent scholars and leaders. Yet a single widely accepted theory of leadership does not exist. The only point upon which people agree is that leadership plays a critical role in how well an organization performs, whether in the military or business. Good leaders are thought to cause more successful organizational outcomes, while poor leaders are thought to produce fewer successful results. [Ref. 16]

The success of the leader not only depends on what the leader does for the organization, but it also depends on the entire membership of the organization.

According to Blade, there are two different leadership styles -- directive and non-directive. Which style of leadership will be effective to the organization depends on several conditions relating to the leader and the members. Several factors relevant to the leader are:

- Ability
- Motivation
- Enforcement of standards
- Intelligence
- Ability to create group cohesion

Subordinate relevant factors are:

- Ability
- Motivation
- Intelligence
- Group cohesion

To produce good unit performance, Blade defined ten rules for leadership. These rules are the result of a combination of several factors that are applicable to both leaders and members.

Rules one and two describe the leadership styles, directive and non-directive leadership. The directive leadership style relies most on the leader's expertise. It is effective if the leader is talented. Non-directive leadership is effective if the members are talented and the leader is either inexperienced or just not bright enough to accomplish his or her job. [Ref. 16:p. 87] The leader's good ideas and knowledgeable techniques will have positive influence on the outcome, as do members abilities. If the leader is talented and the members are capable of doing their jobs well, the unit performance will be good.

Rule three describes the enforcement of performance standards. It emphasizes the degree to which the leader requires high quality work from his or her subordinate. To achieve good unit performance, the leader must train subordinates and give explicit instructions to carry out the established standards. Otherwise, they should not expect that the performance will reach the required standards. Enforcement of standards is a vitally

important leadership principle. With talented and enthusiastic subordinates, enforcement of high standards will improve the outcome because it utilizes more of the members' skill and motivation. [Ref. 16:p. 88]

Rules four through seven describe both the members' and leaders' intelligence and ability. The influence intelligence and ability have on group performance depend on the leadership style used and the member motivation. Under the directive leadership style, the leader's skill has the most influence, which is used in the role of advisor and trainer of subordinates. Here, the leader's skill influences the outcome. If the leader is talented and the members have high motivation, the results will be good, but if the leader's ability is low, the performance will be poor. Under non-directive leadership, the members ability plays the major role. Therefore, member intelligence and ability greatly affects the outcome when the leader uses a non-directive style. More intelligent people can contribute better ideas to the planning and make better decisions regarding alternatives than can low intelligence people. If members are talented and highly motivated the unit performance will be productive. Conversely, if the ability is low, the performance will be poor. With low ability in either leaders or subordinates, training is required to improve their knowledge.

Rules eight and nine describe the leader's and members motivation. The level of motivation is measured by the amount of effort people are willing to put into accomplishing the task. Either leader or member motivation affects the unit performance. When subordinates can perform the task, the amount of effort they are willing to expend will greatly affect the outcome. To improve the unit's performance, both the leader and subordinate must endeavor toward excellence. If they are just going through the motions to stay out of trouble, the unit performance will be poor.

There are several factors to be considered in increasing member motivation: the leader does his job well, the members are given meaningful tasks to accomplish, there is interest in how things should be done, and the leader enforces high performance standards. A competent leader should consider all these factors, as well as helping subordinates by offering suggestions to improve the unit performance, particularly when

group members are below average ability. High member motivation and job satisfaction are the definitive factors that will increase the leader's motivation.

Rule ten discusses group cohesion. Group cohesion influences the unit's performance by sharing good ideas, knowledge, and dividing the common tasks among themselves. If group cohesion is high, accompanied by both ability and motivation to accomplish the tasks, it will greatly affect the outcome. If group cohesion is low, the unit performance will be poor. Conversely, if the group cohesion is high, the unit performance will be good. One method to improve group cohesion is to foster pride in unit membership.

In conclusion, Blade mentions the importance of the factors relevant to the leader and members. High intelligence is important because it facilitates better performance than does low intelligence. Intelligent people can provide better ideas for planning and decision making. Ability is also important because when members abilities are low, non-directive leadership, enforcement of high standards, high member motivation and high group cohesion do not cause the unit performance to improve. On the other hand, when the leader's ability is low, the directive leadership style or high leader motivation will not improve the outcome. Since ability is low, the action required to improve performance is training because training increases ability, and high ability improves unit performance.

L.   CONCLUSION

This chapter provides a background and orientation of those theories which have contributed significantly to the understanding of leadership. Each one of the theories embraces a different point-of-view with regards to the characteristics of an effective leader. However, the theme of all the theories discussed here remains within three categories or models. Firstly, theories that deal with who the leader is such as Great Man and trait theories. Secondly, theories that deal with what the leaders do such as Behavioral theory, Transactional theory, Path-Goal theory, Role theory, and Rensis Likert's theory. Lastly, theories that deal with where leadership takes place such as contingency and situational theories.

Regardless of the different perspectives in each leadership theory, there are common chords among them. Paramount is the role of the followers, their influence on the leader, and their reaction to both who the leader is, what the leader does and how the leader performs. Simply, the followers are the other half of a complete picture and their distinct role clearly marks the way not only between the effective leader and the ineffective one, but also of success or failure of the entire organization. The second vital point of harmony among the theories, with a single exception for the Great Man theory, is the idea that leadership is a capacity within reach and a willing individual can be trained and developed to be an effective leader. The third major point is that none of the theories aspire to chart a single best way to lead or a single best way to motivate, or point out a single best style as there is not one. The implication here is that leadership is highly situational and contextual, where a person should look for ways of understanding rather than answers. As such, all the leadership theories are a means to an end to understanding leadership effectiveness.

The question of how much of these theories have been applied in the LMET/NAVLEAD training program is the subject of Chapter V, where the LMET/NAVLEAD courses and the Navy definitions of leadership are examined in light of the theoretical concepts reviewed here to answer the main question posed by this thesis. To what extent are both the Navy definitions of leadership and the LMET/NAVLEAD courses taught to the officer in congruence with these leadership theories? In order to provide the additional background necessary for this comparison, Chapter III will review the definitions of Navy leadership.

III. NAVAL LEADERSHIP

Dwight D. Eisenhower stated that leadership is "the ability to decide what is to be done and then get others to want to do it". [Ref. 17:p. 406]

John Gardner, *On Leadership*, defined leadership as "the process of persuasion or example by which an individual (or leadership team) induces a group to pursue objectives held by the leader or shared by the leader and his or her followers". [Ref. 17:p. 406]

The purpose of this chapter is to develop the criteria upon which to base the comparisons with private sector leadership theories (which are to be found in Chapter V). The first section of the chapter is focused on the issue of Navy leadership, and aims to develop working definitions of leadership as represented in Navy publications, traditions, and commentary. The second section of the chapter is devoted to leadership factors and traits as personal qualities that make and officer an effective leader.

Defining Naval leadership is a lofty goal, but parameters for a working understanding of Naval leadership can be established and narrowed. The first section of this chapter summarizes the results of research into available Navy publications and key commentary that comprise the written record of the Navy's leadership tradition. The most commonly cited references to leadership in the documentation were selected for inclusion in this summary, and present a fairly well-rounded representation of the materials examined.

Navy leadership may be described in a variety of ways. In the documentation cited in this section, Navy leadership is variously described in terms of its objectives, its characteristics (both from an organizational and individual perspective), its capacity to produce results, the consequences of its absence, the practices through which it may be developed, its more ethereal qualities, and, always emphatically, its necessity in accomplishing the mission.

The following definition of leadership is found in *Fundamental of Naval Leadership*:

> [T]he art, science, or gift by which a person is enabled and privileged to direct the thoughts, plans, and actions of others in such a manner as to

obtain and command their obedience, their confidence, their respect, and their loyal cooperation. Simply stated, leadership is the art of accomplishing the Navy's mission through people. [Ref. 18:p. 1]

"Can leadership be taught?" According to this definition, the answer is "maybe", but, as discussed in Chapter II, the Navy maintains that the answer to the question is "yes". "Art, science, or gift ..." might rather reflect the fact that some are more naturally inclined toward leadership, being gifted, while others might have to develop leadership abilities in an artistic or scientific manner. A more traditional Navy view of leadership emphasizes the innate tendency toward leadership found in prior years:

> [Leadership is] that quality, inherent or acquired in a person which enables him to achieve accomplishment from his subordinates by virtue of their willingness rather than by force. [Ref. 19:p. 1]

It is interesting to note that the older of these two cited references to leadership highlights a basic tenet of management technique, urging the Naval officer to gain willing cooperation from subordinates rather than forced compliance. This demonstrates the continuity to be found between the Navy's leadership tradition and more recent approaches that involve theories and practices found in the private sector (i.e., the Navy's *Total Quality Leadership* initiative).

The first definition cited refers to getting the job done "through people", highlighting the role of management skills in effective Naval leadership. The ultimate aim of personnel management, however, remains the achievement of given objectives. This emphasis on mission accomplishment is further highlighted in the following:

> [T]he term leadership can mean the body of doctrine that has been formed in regard to an area of human conduct, or it can refer to the sum of actions employed by one person dealing with others. It is often used as a summary term to describe the level of success of a command, of a unit, or of a person.

> [T]he execution of the sum total of the Navy's laws, regulations, and customs as they govern the relationship of superiors to subordinates. These in turn have been derived from the United States Constitution, our national laws, the missions of our Armed Forces, and the customs and traditions of the Navy. [Ref. 20: pp. 1-3]

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These two citations are explicit in emphasizing results, implying that leadership will not be found unless in the company of success. The need to "win" is further amplified in the second of the two citations, where reference to societal and institutional factors increases the perceived level of social responsibility held by Naval officers. Further, these citations stress the weight of Navy tradition in the leadership equation.

The same document presents an additional perspective of leadership. In this view, leadership is viewed from the standpoint of the individual:

> leadership [consists] of an individual's development of the human influences surrounding their position through the sum of their beliefs, knowledge, and skills obtained via education, training, and Navy experience. [Ref. 20: pp. 1-3]

The three previous citations, taken together, can be seen to define leadership in terms of responsibility to the organization (and its stakeholders) and in terms of personal development. If the benefit of effective leadership is to be received by the organization or the individual, however, it has to occur. As noted in the last citation, the beliefs, knowledge, and skills employed in effective leadership are to be obtained through education, training, and experience.

- In an outline of a discussion entitled "What Does Leadership Mean?", the Navy offers further clarification of the role and components of leadership:

- Naval leadership seeks to accomplish the Navy's missions.

- Effective leadership is the right balance or mix of personal example, efficient management practices, moral responsibility, and inspirational efforts.

- The key to successful Naval leadership is personal attention, careful supervision, continuing acceptance of one's responsibilities, and the effort to perform well at all times.

- Leadership is required to get a job done.

- Leadership is concerned with people.

- Some leaders are born; some are made; all can improve.

- Leadership can be developed and improved. [Ref. 20: p. 6.27]

Once again, the Navy emphasizes the role of leadership in accomplishing the mission, the personal characteristics required of leaders, the interpersonal environment in which leadership takes place, and the capacity of leadership for continual development.

In a Navy publication intended for instructional use, leadership is defined as "the art of influencing people to cooperate toward the attainment of some goal, which is usually set by the leader". [Ref. 21:p. 2] This publication goes on to note and comment on the difference between leadership and a leadership position:

> The art of leadership is an ability towards which every person in a position of leadership should be striving. The mere act of accepting a commission in the Navy automatically places a man in a position of leadership but it does nothing to improve his ability in the art of leadership; that ability comes only as a result of conscious effort on his own part. [Ref. 21: p.2]

This distinction is important in that it points out that, regardless of position, Naval officers are expected to perform as leaders, and have an obligation to develop the art of leadership beyond the requirements of their current position.

The Navy participated in a research study on leadership done by Ohio State University. In that study, leadership was defined as "the process of influencing the activities of the organized group in its task of goal setting and goal achievement". [Ref. 22:p. 66]

Another portion of the same study examined the individual differences found among potential leaders. This study defined leadership as "the contribution of a given individual to group effectiveness, mediated through the direct efforts of others rather than through himself". [Ref. 23:p. 1]

In *Command at Sea*, written as a guide for maintaining readiness while on board ship, leadership is defined as "the ability to inspire the officers and men of one's command to maximum effort under all conditions". [Ref. 24:p. vii] This image of a "leader of men" recalls the more traditional view of Navy leadership. *Right Down the Line* is a Navy publication addressing leadership and means for improving leadership. It defines leadership as "the ability to get men to follow in the path the leader blazes. [Ref. 25] This view of leadership might be seen to de-emphasize the "how-to" approach to

leadership in favor of exhortations to "get the job done". It is, however, this emphasis on getting the job done, and the high stakes attached to the job, that distinguishes the role and importance of leadership in the Navy. Even this traditional view of the leader, however, is tempered by the need to gain the willing support of subordinates:

> [Leadership is] the art of influencing human behavior. It may be defined as the "art of imposing one's will upon others in such a manner as to command their obedience, their confidence, their respect, and their loyal cooperation." Put in everyday words, it is the ability to handle men. [Ref. 26:p. 187]

Naval Leadership -- Voices of Experience [Ref. 27] contains a comprehensive review of the concepts inherent in leadership in the naval service. It is designed to give junior officers instruction in leadership and to provide information on leadership research and investigation. The volume includes senior officers' thoughts and perceptions on various aspects of leadership in addition to a complete review of all the articles on leadership published in the *Proceedings* magazine since 1879.

The volume starts with President Harry S. Truman's definition of leadership when addressing the cadets at the United States Military Academy. Truman stated that leadership is "that quality which can make other men do what they do not want to do and like it". [Ref. 27:p. 1] General W.H. Rice, USMC, pronounced "know yourself, know your troops, and know your job". [Ref. 27:p. 3]

Leadership is viewed in relation to productivity. It has been said that "leadership is the key to a productive unit, whether it is a radio shack on a frigate, a missile division on a Trident-class submarine, or a squad on a night deployment. Creating conditions that motivate troops, giving decisive commands, being available to answer questions, and setting an example in dress and demeanor, are all ways of being an effective leader and, in turn, a good officer. [Ref. 27:p. 4]

Field Marshall Montgomery of the British Army stated that leadership is "the capacity and will to rally men and women to a common purpose, and the character which will inspire confidence". [Ref. 27:p. 7]

Admiral Burke stated:

In the service, there are many different kinds of leadership, but in general terms, leaders in the service are those who can get their people to do the right thing at the right time for the good of their government. Leadership is understanding people and involving them to help you do a job. [Ref. 27:p. 16]

Admiral Elmo Zumwalt, former CNO, pointed out that "leadership is the ability to influence people so that they willingly and enthusiastically strive toward achievement of unit goals". [Ref. 27:p. 23]

The final definition comes from the Navy's leadership training program itself. General Order 21 defines leadership as:

The art of accomplishing the Navy's mission through people. It is the sum of those qualities of intellect, human understanding, and moral character that enable a man to inspire and to manage a group of people successfully. [Ref. 27:p. 101]

However, Navy leadership cannot be highlighted merely by quoting definitions. It must go further. To the characteristics, qualities, factors, and principles which all make the essence of leadership viable and better understood. Before dealing with these factors it is necessary to identify the patterns, common threads and flesh out these definitions. First, leadership is presented in a relationship concept. Leadership only prevails if a relationship between people in which power and authority are asymmetrically assigned on a legitimate level is well-kept and maintained. Namely, this relationship concept glorifies and illustrates the follower role. Simply put, if there are no followers, there is no need for a leader. Coexistence is a must.

Defining leadership as a relational concept implies two premises. First, on the part of the leader, he or she must be able to carry the function of leadership and know how to inspire and relate to his or her followers. Second, on the part of the followers, they must explicitly or implicitly consent to their role and cooperate voluntarily with the leader to achieve agreed upon goals.

The second component is that leadership is presented as a process where the leader is expected to be action-oriented and do something about all that surrounds his or

her position, because the holding of a position of authority alone does not make someone a leader. Implicit in this process is a developmental role on the part of the leader. The leader has to be committed to a continuous process of improvement of ability in self and in followers to attain the desired result.

The third component is the inevitable fact that leadership requires using power to influence the thoughts and motivate the actions of other people. Leaders have to exercise intentional influence over their followers. However, the way in which influence is exerted is important for inducing others' action and integrating individual needs and organizational goals within the framework of group process. For example, leaders have various means to exercise their influential roles, such as using legitimate authority, modeling (setting an example), persuasion, goal-setting, rewards, punishments, communicating long-range plans, motivation, team spirit, and organizational restructuring. The power of inducement does not connote the use of physical force or coercion, which is in contrast to leadership that involves interpersonal relationship and interaction between the leader and the follower. Instead, effective leaders work with subordinates and convince them to follow in an organized effort to attain mutually agreed upon goals which, in turn, serves their self-interest and the interest of the organization. This inducement and influential power that leadership requires implicitly defines leadership as a pattern of behavior which enables the leader to act in a certain way in order to guide others or their actions toward voluntary cooperation.

The individual differences among potential leaders is defined in the statement that leadership is "the contribution of a given individual to group effectiveness, mediated through the direct effort of others rather than himself."

The two definitions established by the Ohio State University study show not only that the concept of leadership is diffuse and controversial, but the definition varies depending on the purpose of the research and whether or not it is to identify leaders by the latter definition or to train leaders as in the first definition.

Furthermore, most of the aforementioned definitions portray the purpose of leadership activities, such as motivation, inspiration and goal setting as the

accomplishment of the assigned mission and the final object of naval leadership. The stress upon the accomplishment factor indicates that leadership could also be defined and measured in terms of the result produced. The need for management skills along with leadership practices is very apparent in the definitions as stated in *Leadership and Administration*, and in General Order 21. The demand for management proficiency does not imply that management is similar to leadership nor as a substitute for it. It is indicative of the fact that leadership and management are two distinctive and complementary systems. The efficient practice of both in a balanced fashion is essential to the success of the Navy.

Nevertheless, the phrases such as "human conduct", "process of persuasion or example", "art of influencing people", "mediated thought", "to inspire to maximum effort under all conditions", "in such manner", and "creating conditions that motivate" all imply a focus on the interpersonal issues of leadership. The central issue is that leadership is situational, the approach used varies based on the circumstances encountered and needs to be dynamic where naval leadership involves different situations and, consequently, requires varying degrees of leadership style.

A.   LEADERSHIP FACTORS AND TRAITS

The Navy's efforts at describing leadership are not limited to definitions and exhortations from historical figures, however. There exists a great deal of information that discusses leadership by describing the leader. Hence, the Navy maintains that leadership is taking place when an individual leader:

- Sets the example.

- Has learned to be a good leader.

- Knows his job.

- Establishes objectives and plans for their accomplishment.

- Knows himself and seeks self-improvement.

- Takes responsibility for his actions, regardless of their outcome.

- Is consistent, but not inflexible.

- Seeks responsibility and develops a sense of responsibility among his subordinates.

- Treats every person as an individual, not as a number.

- Keeps his subordinates informed.

- Encourages subordinates to offer suggestions and/or constructive criticism.

- Makes sure the task is understood, supervised, and accomplished.

- Trains his subordinates as a team.

- Employs his unit in accordance with its capabilities. [Ref. 18: pp. 9-10]

Lists such as this provide valuable clues to the nature of Naval leadership, by broadening the scope and complexity of the definition of leadership to include specific behaviors. An effective leader must demonstrate certain qualities in order to guide, inspire, and motivate his followers. The Navy officer, as a leader, must fit into all the moral, psychological, and managerial meanings of the term. His leadership is expressed by precept and example, knowledge of the job and of human behavior, and by considerate, responsible action. However, "Setting an example" involves more than merely demonstrating exemplary ways of accomplishing objectives or performing tasks.

The Naval tradition imposes an additional level of responsibility in the form of traits to be found in Naval officers, who are by definition leaders. Major traits of leadership promoted by the Navy are:

- Integrity

- Dependability

- Cooperation

- Loyalty

- Unselfishness

- Sense of humor

- Tact

- Ability to write well

- Ability to speak effectively

- Initiative

- Judgment

- Enthusiasm

- Creativity

- Decisiveness

- Endurance

- Self-discipline

- Courage (moral and physical) [Ref. 18:p. 10]

These leadership traits are distinguished personal qualities or personal attributes that might be of added value for a leader in exercising his/her leadership role. Possession of these traits facilitates the task of applying leadership principles and aids in earning the followers' respect, confidence and cooperation. Full examination of each of the above traits would be a study in itself.

B.   THE NAVY OFFICER'S ROLE

The virtue of being a naval officer comes with assuming a leadership role. Playing this role is not easy. It takes a long preparation of one's self and a devotion to continuous improvement throughout the career. The role of the Navy officer is distinguished by long-standing traditions, heritage and pride that comes from accepting the Navy as a way of life and adhering to its regulations and standards.

The Naval tradition places special emphasis on the development of leadership ability. This emphasis is found with regard to both institutional efforts and individual efforts. Elaborating on the responsibility of naval officers to develop leadership skills, Admiral William V. Pratt said:

> The greatest problem facing the career naval officer is leadership. Yet this most important factor in a man's life frequently is allowed to grow like a choice flower in a garden surrounded by rank weeds. So many feel that if they follow the average course of naval life, experience will finally give them the qualities of the great leader, and opportunity may reward them with a high command. Few realize that the growth to sound leadership is a

life's work. Ambition alone will not encompass it, and if ambition alone be a man's sole qualification, he is indeed a sorry reed to lean upon in time of stress. The path of qualification for leadership is a long, hard road to travel. It is a path of life. It envisages all of a man's character, his thoughts, aims, and conduct of life. It requires the wisdom and judgment of the statesman, the keen perception of the strategist and tactician, the executive ability of the seaman; but above all, it requires sterling worth of character and great human understanding and sympathy. [Ref. 18:p. 77]

The Admiral made reference to the contributions of experience and individual development to an individual's leadership ability.

Admiral Carney, while he was Chief of Naval Operations, articulated the role of the Navy and its people as:

The Naval Service is a remarkably integrated and complex human system that constitutes a great national asset. The Naval Service is actually founded on a system of education and indoctrination which is designed to give young men and women selected early in life attributes of mind and character which history and experience have indicated will make them good Sailors or Marines. Of course, the first thing which has to be developed in a Navy or Marine Corps recruit is a latent strength of character. They must be taught to understand the concept of service in the best meaning of the word, and must be imbued with the sound ideals and convictions before proceeding with their basic career development.... Personnel must be trained to do a disciplined, resolute, and successful job under the stress of combat. This calls for a high order of leadership that will, through study, practice, and experience, acquire knowledge and skillfully impart that knowledge to others; a leadership that will inspire the confidence and voluntary obedience of others; a leadership built on the foundation stones of firmness and justice, where the harsh voice is the exception rather than the rule; a leadership that lives in accordance with the code that it enforces. [Ref. 18:p. 78]

The naval officer's life is different than his civilian partner due to the fact that he is considered to be on duty 24-hours a day. The Navy is more than a profession or a job, it is an acceptable way of life and the accomplishment of the mission occupies his highest priority and demands the best of his abilities.

The ingredients of the leadership role that may help a naval officer to have a successful career are:

- Self-motivation

- Flexibility

- Maintaining a strong service reputation

- Leading by example

- Preserve and apply the Navy's customs and usage, ceremonies and traditions

- Naval manners and conduct

- The naval officer as a gentleman [Ref. 18:pp. 79-102]

Motivation is a word which implies a *will to accomplish*. It may be defined as "the presence of circumstances which stimulate action toward a goal or objective". [Ref. 28:p. 20] The role of a naval officer requires self-motivation. He must show a real desire to become not only an officer, but the best officer in the Navy. It is through this self-motivation that the officer strides forward and increases his subordinates motivational ability and gains their trust and confidence, while building a successful career. In carrying out his role, the Navy officer must be flexible and adaptable as different duties and situation requirements emerge. The Navy officer must wear many hats, perform several collateral duties, and change positions because each assignment is different, not only in its requirements, but in its overall environment and type of command (*i.e.,* aviation, submarine, surface warfare, shore establishment) and the followers that must be influenced. In each different Command, the followers' background, training and needs are quite different. Therefore, the Navy officer, as a leader, must adjust rapidly to these changing circumstances. Officers must have pride in their role as a leader in order to achieve success. They must strive to work at their best and be on the winning side of the team to establish a good reputation and thereby gain prestige.

The victorious history and long-standing traditions of the Navy contribute a great deal of prestige which is reflected in its officers when they wear their uniform insignia of rank, decorations and medals. The officers are encouraged to exploit this prestige and make use of it to add to their inherent power and positively affect their subordinates.

Service reputation is crucial to the Navy officer. His entire career depends on it. The officer is solely responsible for building up his reputation and maintaining it. The reputational role is best described by:

> A fine service reputation is a matter of deep personal pride to all naval officers. It is founded upon the positive character, moral integrity, and potential value of an individual to the service. Aggressive leadership, reliability, initiative, loyalty, and the respect for obedience to constituted authority. . . These are the very essence of those qualities which develop a moral fiber and contribute to fitness evaluation and service reputation. [Ref. 18:p. 80]

Additionally, the officer has the role of setting the example. His behavior is carefully watched (on and off-duty) and defines the perceptions of his subordinates of his ability as an officer and a leader.

Leading by example is one of the most essential roles for an officer. He must take the stand and lead, not by virtue of rank, but by applying his tough standards on himself first and conduct himself in a way that inspires his subordinates to follow.

Admiral Uchida stated:

> An officer's behavior considerably influenced other individuals, particularly his subordinates. Regardless of an officer's personality or style, he must always be unselfish and fair to subordinates so that they never lose their reliance on him. An officer's humanity is perceived through his behavior, and it is this which moves others. [Ref. 27:p. 108]

The Navy has deep roots in custom, usage, ceremony and tradition. The officer has a role not only to preserve and keep them alive, but to deeply understand, appreciate and apply them in order to experience the sense of pride and provoke the dignified inspiration inherited with them and reflect all that on his unit and subordinates.

In summary:

> The Service should find worth and inspiration in a review of its naval inheritance. To evaluate properly the attitudes and inner feelings for the service, every naval officer must for a short time forget science and the machine and must consider the effect of tradition on morale, and of customs on naval law and regulations, as well as the unusual distinction that ceremony lends to a military organization.

Inasmuch as the principles of honor, loyalty, and devotion to cause are immutable, it follows that any study that will intensify these qualities in the individual is worthy of particular attention. [Ref. 18: pp. 86-87]

The role of the naval officer is to present himself to both his subordinates and the general public as a gentleman. His manners and conduct and his uniform must reflect well on the Navy as well as himself.

The Navy defines manners as "the outward manifestation of the individual's breeding". [Ref. 18:p. 92] Manners have an important influence on the reactions of others, however, the act itself is often less important than the way in which it is done. It is best described as:

> The public attitude toward and support of the naval service is determined in great measure by the composite impression formed through appraisal of individual naval personnel in uniform. An officer has a position to maintain, and most people will be proud to see a dignified determination to do credit to the uniform. [Ref. 18:p. 92]

Finally, the role of the naval officer does not end with all of the above factors. The naval officer as "an officer and a gentleman" is age-old. It is the way to career success.

An officer as a "gentleman" is defined as:

> A man that is clean inside and outside, who neither looks up to the rich nor down on the poor; who can lose without squealing; who can win without bragging; who is considerate of others; who is too brave to lie, to generous to cheat, and too sensible to loaf; who takes only his share of the world's goods and lets other people have theirs -- This is a real gentleman. [Ref. 18:p. 102]

The "gentleman" standard is difficult to fully attain, but it is required of an officer. The officer must master every thought and action and let the spirit of friendship, mutual respect, and understanding prevail and, thereby, win the confidence, trust and cooperation of all the people the officer comes in contact with.

C.   DYNAMIC FEATURES OF LEADERSHIP

In addition to the desirable personal characteristics described in Section A of this chapter, the naval officer must develop certain skills if he is to act effectively in the role

of leader. These skills or qualities are the dynamic features of leadership. They must be practiced daily. Unlike the personal characteristics which are desirable, the dynamic features are necessary. They include:

- Enthusiasm, cheerfulness

- Cooperation

- Promptness, reliability

- Tact

- Consideration

- Fairness

- Self-control

- Professional knowledge, preparation, using spare time

- Initiative, ability to plan ahead, imagination

- Decisiveness

- The will to win [Ref. 18: pp. 120-127]

However, these skills are all within reach of the officers who apply themselves and set their goals intending to accomplish them. They must continuously review their capacity and ask the right questions about their career, their responsibilities, and their opportunities. For example, affirmative answers to the following questions are key in effectively carrying out the required leadership qualities while strengthening the determination for exercising the given command.

- Have I charted a course and established a long-range goal for achievement in my role as a Navy officer?

- Do I believe in the naval service and accept the naval profession as a way of life?

- Do I obtain a great deal of personal satisfaction from my role as an officer?

- Do I feel the necessity to improve my knowledge of the naval profession? [Ref. 18: pp. 119-120]

D. MORAL LEADERSHIP

America's most important role in the world, almost from the day our country was born, has been the role of moral leadership.... Teach our young people to believe in the responsibility of one to another; in their responsibility to God and to the peoples of the world. Teach them to believe in themselves; to believe in their place in leading the world out of the darkness of oppression. Teach them to believe in their priceless heritage of freedom, and that it must be won anew by every generation. And teach them to believe in the United States of America. The hope of the world has been in our physical power, our moral strength, our integrity, and our will to assume the responsibilities that history plainly intends us to bear. [Ref. 29:p. 109]

The above quote and others similar to it are predominant in military leadership literature. Heavy stress on moral values and ethics places moral leadership as a standard that both officers and enlisted personnel must strive for.

Buck and Korb stated that "the military leader cannot see his function in some scientific or objective value free-way: the uses of military force always involve moral considerations". [Ref. 30:p. 13]

Navy publications repeatedly refer to Navy leadership as moral leadership. Moral leadership forms the leader's character and encompasses the essence of the leadership characteristics. In *Fundamentals of Naval Leadership* it is pointed out that the naval leader must feel the importance and responsibility of developing high moral standards in Navy personnel. The word moral, as used here, includes honesty, integrity, and sense of duty and obligation to serve the country and defend it and its ideals against all enemies. It also includes an obligation to work at maximum capacity in any task assigned, whether supervised or not.

E. LEADERSHIP TECHNIQUES

The Navy officer, as leader, must perform a leadership role according to well-established principles. The officer is free to use a wide variety of techniques to lead and accomplish the mission. However, specific situations demand specific leadership techniques. Each different situation requires certain techniques depending on the nature of the leadership act involved. For example, the leadership technique involved in giving

commands is quite different from the technique used in giving orders. Officers should know all leadership techniques available, but it is more important to know which one to apply in a specific situation.

Leadership techniques involved in giving commands include:

1.   A command must be definite.

2.   A command must be positive. It must be given in a tone of voice that leaves no doubt that it is to be executed.

3.   The leader must look at subordinates when he gives them a command.

4.   A command must be concise. It must not be so long or involved that the men cannot remember it. [Ref. 18:p. 240]

Leadership techniques involved in giving orders include:

1.   Explain what is to be done. Discourage the tendency of the junior to ask how to do it, but leave an opening for questions of confused subordinates.

2.   Do not talk down to the enlisted in giving instructions.

3.   Give orders to the person in charge, and not to the group. The chain of command must be followed.

4.   Encourage and coach the enlisted when they encounter difficulties.

5.   Remember that the man is serving his country, not the officer as an individual.

6.   In giving an order, try to get across the feeling of "Let's go!" instead of "Get going!"

7.   Avoid an overbearing attitude.

8.   Show confidence in the ability of subordinates.

9.   Do not use a senior's name to lend weight to your own order.

10.   Give a reason for your order if time permits, or if it appears that the orders will be clearer if subordinates understand the reason behind them. [Ref. 18:p. 241]

Leadership techniques involved in getting cooperation include:

1.   Stimulate unit or organizational pride by showing your own pride and enthusiasm for the service.

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2. Do not criticize another officer or another organization before your subordinates.

3. Keep your subordinates informed so that they may have an intelligent sense of participation.

4. Use the word "we" instead of the word "I" whenever appropriate and possible.

5. Accept responsibility for corrections from higher authority, and take remedial action.

6. Give full credit to members of the organization whose work and ideas brought progress.

7. Let your enlisted know that you think they are good, and maintain high standards through alert supervision.

8. Make sure that all subordinates know your policy.

9. Do not be sarcastic.

10. Do not threaten punishment to make an order effective.

11. Do not invent jobs just to keep subordinates busy. [Ref. 18:pp. 241-242]

Leadership techniques involved in establishing discipline include:

1. Praise in public; censure in private.

2. Give subordinates the benefit of the doubt.

3. Punish the individual concerned, not the group.

4. Take into account whether or not an infraction of rules or regulations was intentional.

5. Consider a person's record.

6. Be impartial, consistent, and humane in giving rewards and punishment.

7. Never use severe punishment for minor offenses.

8. As soon as possible, remove senior enlisted who have demonstrated their unfitness.

9. Teach understanding of discipline rather than fear of it; punish the guilty promptly, and defend the innocent stoutly.

10. Support the correct actions of subordinates. [Ref. 18:p. 242]

Leadership techniques involved in improving feelings of security include:

1.   Let subordinates know what is expected of them.

2.   If you are pleased with their work, tell them so.

3.   If possible, keep subordinates informed of what is in store for them.

4.   Do not make promises you cannot keep.

5.   Grant deserved favors willingly.

6.   Know the state of the morale of your personnel.

7.   Never "pick on" an individual!

8.   Be certain that a subordinate understands why he is being censured.

9.   Evaluate your own performance in terms of the individual morale and group *esprit de corps* that exists in your organization. [Ref. 18:p. 242]

Leadership traits involved in giving recognition include:

1.   Praise when praise is due. Do not flatter.

2.   Be on the job whenever your enlisted are working.

3.   Be interested in the promotion of your personnel. Encourage them to prepare for advancement.

4.   See to it that you are the first person to whom a subordinate turns in case of trouble.

5.   Express interest in ideas even though you might disagree with them.

6.   Take a keen interest in the quarters and mess. Insist that these be the best available.

7.   Study your personnel. Learn all about them: where they come from, their problems and interests, etc. [Ref. 18:p. 243]

Leadership techniques involved in improving organization and administration include:

1.   Require use of the chain of command.

2.   Conform to the rules of the organization.

3.   Discover weaknesses of the organization by observing and questioning.

4. Never issue an order that is not going to be enforced.

5. Be fair about promotions.

6. Demote incompetents. [Ref. 18:p. 243]

To the Navy, all of the above leadership techniques are more of a guide than a comprehensive list. Its purpose is to point out to officers other options for commonly encountered situations. The officer is encouraged to assess the situation at hand and make amendments or additions as needed in order to pave the way for effective leadership.

F.   SUMMARY

This chapter has discussed how the Navy defines leadership through definitions found in Navy publications. The chapter outlined the definitions, their implications and ramifications for the purpose of unveiling the concepts inherent in leadership in the Naval Service.

Secondly, from a Navy point of view, the leadership requisites, principles, traits, qualities, and techniques involved in the making of a good leader are presented to shed more light on the concept of leadership and reveal some of what it takes to pursue leadership's challenging tasks.

In view of the definitions, leadership in the Navy may be described as inspirational, motivational and instrumental. Actions and exercise of power are required. The Navy recognizes, however, that there are many different aspects of leadership. It entails interactions and relationships between the leader and followers and the Navy admits that leadership is a behavioral phenomena which calls for an officer's or individual's behavior to be set in such a way as to induce voluntary cooperation from those being led, with the primary intent, on the officer's behalf, to develop that type of behavior, rather than with a delineation providing a mere link in the chain of command.

All of the listed definitions of leadership combine three complex variables: the individual (the leader), the group of followers, and the conditions or situations. Consequently, the Navy approach to leadership seems to be balanced. No one aspect of the person, situation or process was stressed at the expense of the other.

In practice, the Navy accepts the dynamic approach which recognizes different types of leadership traits and qualities for different situations, which by nature fits the Navy leadership that involves many different situations and accommodating to an assortment of missions and duties.

Navy leadership is a complex, multi-faceted phenomenon, imperative to productivity. Good leadership depends on the ability of the leader to inspire his subordinates to accomplish the desired goals. This requires a good attitude on the part of the leader supplemented with certain skills and knowledge, such as skill in organizing, instructing, communication of ideas and skill in planning and directing. In addition an extensive knowledge in the domain of the job and its environment and in human nature, the officer must know much about the men and women with whom he serves.

The obvious conclusion is that leadership can be developed, and the Navy is taking a major part in such development, where formal leadership training programs such as LMET/NAVLEAD are established for this purpose. A critical look at the LMET/NAVLEAD curriculum and an exploration of its breadth is the subject of Chapter IV.

IV. NAVAL LEADERSHIP TRAINING

Leadership training has been an important part of most military training programs and will remain so in the future. In the Navy, leaders' training is provided through a series of professional development programs such as the LMET/NAVLEAD programs.

This chapter outlines the LMET/NAVLEAD program. The purpose is to expose the content of these leadership courses (LMET/NAVLEAD) in addition to a content analysis to ultimately allow for comparing these courses (LMET/NAVLEAD to the selected popular leadership theories.

In order to accomplish this, an analysis technique will be employed, where the broad spectrum of the Navy training system is examined to gain an overall understanding of the Navy leadership training in general and the development of the LMET/NAVLEAD in particular.

Mainly, the chapter consists of two parts. First is the relevant interrelated issues that pertain to the training system and the LMET/NAVLEAD program. These issues that will be addressed are:

1. Structure of the LMET/NAVLEAD.

2. Theoretical basis of the LMET/NAVLEAD.

3. LMET/NAVLEAD content.

The second part considers the past evaluation of the LMET/NAVLEAD program to discover the scale of evaluation that had been conducted so far, and the crucial findings and conclusions involved. Also, the most recent review and critique of the Navy training. Specifically leadership will be briefly addressed to perceive the changes in leadership training and future trends.

Virtually all types of organizations consider leadership important to daily functioning and long-term survival. The military is no exception, since leadership is an integral part and an essential component of military effectiveness. However, military leadership is different from either business or industrial organizations due to the uniqueness of the mission and the diverse regulations and circumstances surrounding it.

In combat situations, men and women are asked to lay down their lives for the cause and sovereignty of their country. From the standpoint of the Navy, this difference is stated as follows:

> The most essential element of leadership is the maintenance of moral standards and the teaching of moral values. Leadership in this sense is the aspect of personnel management which involves ethics as related to behavior. It stresses responsibility of the individual to the Navy, to our country, and to himself, and the adherence to those standards of conduct and behavior which have always been inherent in our civilization. [Ref. 10:p. 17]

The Navy is embracing leadership and devoting its limited resources to teaching leadership and management skills necessary to meet the ever changing demands of military preparedness. In doing so, the Navy has defined and clarified the concept of leadership and then chartered leadership training courses.

The United States Navy has traditionally defined leadership as the ability to motivate people to achieve a specific goal. Prior to World War II, the Navy thought that the traits of a leader were inherent, and that individuals had only to emulate people who were successful leaders to become leaders themselves. Training in leadership, therefore, was neglected. Good leaders would inevitably become famous for their excellent abilities. The popular belief was that if one were well-known or famous then one must surely be a great leader.

With the outbreak of World War II, the Navy placed much of its training emphasis on an individual's initial entrance into the service. Recruit training and follow-on technical schools gave individuals the knowledge they needed to perform in their respective designations or ratings (specialties). Leadership training, in and of itself, did not get much attention until the 1950s, when symptoms such as a proportionally large brig population prompted action by the Secretary of the Navy to "fix" the problem. General Order 21 was issued in 1958 as a remedy. It declared that leadership was "the art of accomplishing the Navy's mission through the handling of people. A leader has to possess the qualities of intellect, human understanding and moral character that enable

him to inspire and manage a group of people successfully. Effective leadership is based on personal example, good management and responsibility." [Ref. 31:p. 36]

General Order 21 also contained an order for commanding officers to incorporate leadership training into their command training plans. This demonstrated a commitment to leadership training by the upper echelon of the Navy, but few commands actually undertook a serious training effort.

The 1960s saw minimal change in leadership training. The re-issuance of General Order 21 in 1963 was without significant impact, due in part to lack of clear objectives and substantial guidance and support for the different commands to act upon. In 1966, leadership training was incorporated into General Military Training (GMT). Each sailor was to receive ten hours annually in leadership style, chain of command, authority, responsibility, and accountability.

In the 1970s, the groundwork that lead to the Navy's current program of leadership training was laid. A new two week formal course, called Leadership and Management Training (LMT), was initiated in 1970. It was initially authorized to be taught at fifteen sites, but demand for the course soon lead to the creation of many unauthorized versions of the course. Admiral Holloway, shortly after he became Chief of Naval Operations (CNO), ordered a review of all leadership training in August 1974. The review panel proposed that a system, rather than a course, for leadership training needed to be developed, because a single course could not correct the shortcomings of the existing leadership training program.

McBer and Company, a Boston based consulting firm, became involved with the Navy's leadership training program in 1975. They devised a training model based on competencies that are characteristic of the people who do their job best. In 1976, McBer's approach to leadership training was selected from among proposals submitted by several civilian contractors to form the basis of the new system. The Leadership and Management Education and Training (LMET) program, initiated in 1979, was the eventual result of the approach developed by McBer. LMET was initially taught at five levels, three for officers and two for senior enlisted personnel. The program started with

two sites and quickly expanded to a total of 21 locations, eighteen in the continental United States and three overseas.

In 1989, Navy planners looked at the program yet again. They began the first major overhaul of the program in ten years. Now called the Navy Leader Development Program (NLDP), it resulted from long standing concerns that Navy personnel were not being properly coached in proven leadership techniques for supervising subordinates. As of October 1992, attendance at LMET's newly developed, one week NAVLEAD course was a requirement for promotion to senior pay grades.

Responsibility for leadership training programs belonged to the Bureau of Navy Personnel (BUPERS) until 1991, when responsibility for program management, curriculum development and resources were transferred to Chief of Naval Education and Training (CNET). Research functions and policy responsibility remain with BUPERS.

The Zero-Based Training and Education Review was conducted on January 12, 1993, with the purpose of ensuring that training infrastructure for the Navy was sized appropriately to accommodate the smaller Navy of the future, and that this training would focus on the doctrine of "...From the Sea." The following deficiencies were noted:

- Inadequate satisfaction of many requirements (e.g., prioritized training requirements neither consolidated nor reduced to eliminate duplications and improve training quality).

- Absence of a single authority responsible for program management, resources and curriculum control.

- Inflexibility to respond to "new challenges in leadership" in a consistent manner (e.g., no immediate delineation or revision of certain courses is taking place after feedback is received).

- Widely varying quality of instructors and lack of subject matter experts for the development of curriculum.

- A non-sequential, non-progressive and disjointed education and training continuum.

- Absence of an assessment system for individual/curriculum effectiveness. [Ref. 32:p. vi.10]

A. STRUCTURE OF THE LMET/NAVLEAD

Throughout the history of Navy training, leadership courses went through several name and substance changes. In 1989, the concept of NAVLEAD was introduced, not to take the place of LMET, but to enhance the implementation of the effectiveness. Therefore, LMET still coexists with NAVLEAD to some extent and is considered to be the formally approved model for Navy leadership training since it follows the same basic principles of competencies.

Currently, LMET/NAVLEAD is taught at five levels, with emphasis on fleet personnel to enroll first in these courses. These five levels are:

1. Commanding and Executive Officers.

2. Department Heads.

3. Division Officers.

4. Leading Chief Petty Officers.

5. Leading Petty Officers.

The first three levels deal with officers and are the main object of this thesis. The officers' LMET/NAVLEAD programs depend on the warfare specialty, where it is further subdivided into separate classes for surface ship officers, aviation and submarine. Usually, the officers receive leadership training (LMET/NAVLEAD) while in transit to their permanent duty station, depending on the quotas available from the designated school. LMET/NAVLEAD is offered at existing Navy Training Centers and certain schools located at different sites (Little Creek, VA; Newport, RI; etc.)

B. THEORETICAL BASIS OF THE LMET/NAVLEAD

As stated in Chapter II, LMET was initiated in 1979 by McBer and Company. Since then, LMET/NAVLEAD has been viewed as the Navy's formal method for introducing managerial and leadership skills to officer and enlisted personnel at certain points of their careers. Minor changes have occurred since the inception of the program. Certain courses are now mandatory for designated pay-grades for the purpose of promotion and the title is no longer LMET, it is NAVLEAD.

The ideology of Navy leadership training (LMET/NAVLEAD) attributes back to David McClelland, the founder of McBer & Company and a psychologist known for his research on achievement motives. McClelland used a scientific, qualitative method to demonstrate how the need to achieve influenced economic growth. Through achievement and economic development, people would be better suited to guide their own destinies. [Ref. 33] Furthermore, the convincing research on the achievement motive led McClelland to undertake additional research in order to understand the acquisition of the motive. After numerous motive development programs of training and related research, McClelland concluded that people should be hired and trained based on the competencies which he later used to build the Navy's LMET/NAVLEAD program.

McBer was involved in two research studies that form the backbone of the LMET/NAVLEAD courses taught throughout the Navy. McBer's first research study contained an analysis of the individual performance of supervisory personnel. The outcome of the analysis revealed 27 leadership competencies common to all outstanding military supervisory personnel and missing from average military supervisory personnel. However, after validating these competencies against performance data, only 16 of the original 27 competencies were found to be significantly related to superior leadership. These final 16 competencies, as shown in Table III, are further defined in Appendix A.

McBer's second study examined command excellence in order to identify characteristics associated with superior performance and distinguish outstanding commands from average commands. The study resulted in the development of the Model for Command Excellence. This model embraces 13 components, divided into three major areas, as shown in Figure 3.

The major components of this model consist of three important elements that come between the inputs and results as a mechanical impetus. These three elements are:

- People
- Relationships
- Activities

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Furthermore, each component is broken down into several parts as the following:

- ***People***
  CO
  XO
  Wardroom
  Chief's Quarters Crew

- ***Relationship***
  CO - XO
  Chain of Command
  External Relations

- ***Activities***
  Planning
  Maintaining Standards
  Communicating
  Building Esprit de Corps
  Training and Development

Beginning with people, the model describes the characteristics of outstanding COs, XOs, Wardrooms, and Chiefs and crews, which all reinforce cooperation and enhance the overall total quality leadership. Some of these characteristics are: supporting command philosophy; developing subordinates; emphasizing training; ensuring standards are enforced; acting for command-wide effectiveness; bank on strong leadership; taking ownership in own work; live up to standards; and working as a team.

The second major area of the model is relationships. This area is broken down into CO - XO relationship, chain of command, and external relationship. The emphasis is on effective communication that fosters a good working relationship both up and down the chain of command.

The final major area of the model is activities. This area is divided into planning, maintaining standards, communicating, building esprit de corps and training and development. The emphasis here is on the critical activities that have to be performed accordingly in order to accomplish the ultimate goals, such as long-range planning at all levels; giving continuous feedback; and promoting teamwork. [Ref. 34: pp. 6-25]
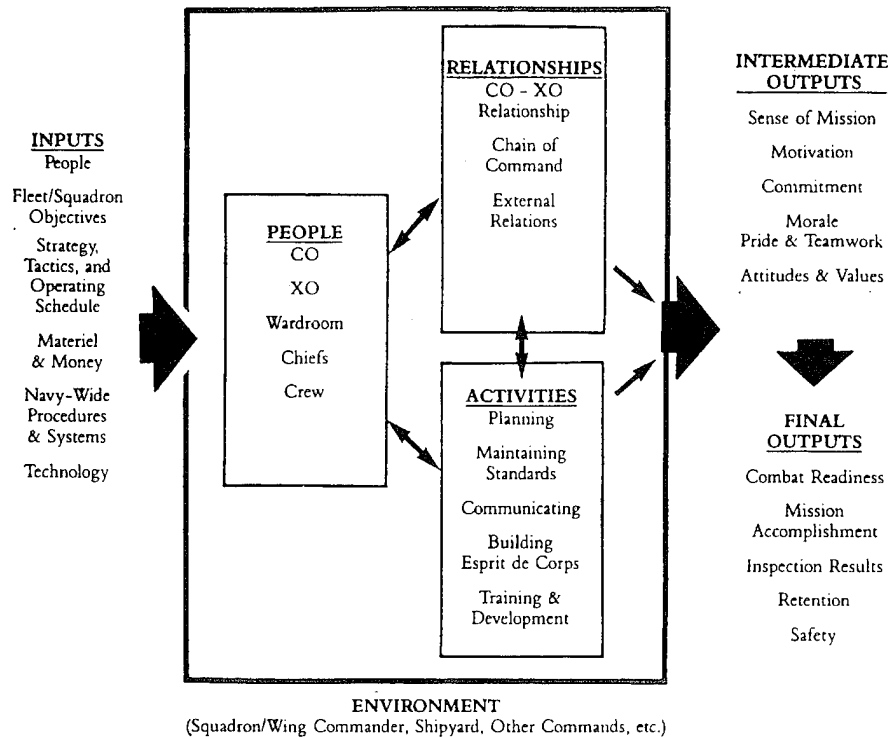
Figure 3. Model for Command Excellence

C. LMET/NAVLEAD PROGRAM CONTENT

LMET/NAVLEAD has become the Navy's formal method of acquainting its officer and enlisted personnel with managerial and leadership skills. The aim of the whole program is stated as:

- To provide a formal and systematic training program for professional development of Navy leaders at critical points in their careers, based on research of effective Navy leadership.

- To train officers and petty officers in the specific leadership and management skills needed to perform effectively at their level in the chain of command.

- To conduct ongoing evaluation for improving and updating these programs.

- To encourage Navy leaders to take personal responsibility for implementing effective leadership skills, by means of an educational approach that emphasizes individual initiative and accountability for effective performance as a Navy leader. [Ref. 35:p. 7]

1.	Sets Goals and Performance Standards
2.	Takes Initiative
3.	Plans and Organizes
4.	Optimizes Use of Resources
5.	Delegates
6.	Monitors Results
7.	Rewards
8.	Disciplines
9.	Self-control
10.	Influences
11.	Team Builds
12.	Develops Subordinates
13.	Positive Expectations
14.	Realistic Expectations
15.	Understands
16.	Conceptualizes

Table III. LMET/NAVLEAD Competencies

However, it should be known that the officers' leadership training and development in the Navy starts in the accession programs, such as the Naval Academy (USNA), Officer Candidate School (OCS), Reserve Officer Training Corps (ROTC), and Officer's Indoctrination School (OIS) and continues, to some degree, throughout the officer's designated career pattern.

The concentration of this section is on content analysis of the LMET/NAVLEAD program only. Therefore, the content of the leadership training offered at the accession point will not be addressed because the LMET/NAVLEAD course components have not been systematically incorporated into the accession curricula. The 16-competencies previously listed in Table I, are the backbone of the current LMET/NAVLEAD courses. The key assumption made is that learning all or any one of these 16 competencies will result in improvement in leadership and management skills and, hence, ameliorate effectiveness and readiness. Therefore, the curriculum and course contents of LMET/NAVLEAD are based on these competencies and designed to increase them with the ultimate goal of fostering students' continuing self-development in the leadership competencies.

A competency, as McBer defines it, is "a knowledge, skill, ability, motive or other characteristic that can be demonstrated to relate directly to competent occupational performance." [Ref. 36: pp. 1-36]

Competencies are simply a way of distinguishing superior performers from average ones. As Daniel Goleman elaborates, "competencies are not aspects of the job, but characteristics of the people who do their job best." [Ref. 37:p. 40]

The LMET/NAVLEAD curriculum is viewed in relationship to the 16 competencies. These competencies are grouped into what is called a curriculum cluster. There are five competency clusters, as shown in Table IV, that form the content of the LMET/NAVLEAD program. These clusters are: concern for efficiency and effectiveness; management control; skillful use of influence; advising and counseling; and conceptual thinking. Each competency cluster is explained to the participant in terms of desired skills, knowledge, attitudes, etc. and demonstrates how this strengthens the performance of a good leader. [Ref. 38]

The first competency cluster is a concern for efficiency and effectiveness. It involves the improvement objective, where just doing the thing right is not an end, but rather a means of encouraging to do it and do it well. Major components of this cluster contain setting goals and performance standards that help to guide the accomplishment in a way that results in improved performance. The efficiency concept is stressed in terms of the use of time, manpower or resources, and taking initiative in a manner that will lead to advance one's career or improve his or her actions.

The second competency cluster is the management control that deals with the optimization and task achievement factors. Major components are planning and organization, optimizing use of resources, delegation, monitoring results, rewards and discipline.

The third competency cluster is the skillful use of influence. The emphasis is on using the influence in a positive manner, geared toward attaining the overall goals of the Navy effectively, but not for the sake of pure self-interest. If a successful influence strategy is followed, influence is a tool that could be used to make others feel strong and

more committed to the Navy organization. It comes in a form of persuasive speaking, briefing, selling ideas, building coalitions, or influencing by personal example. Major components of this cluster are influences, team building, development of subordinates and self-control.

#1	CONCERN FOR EFFICIENCY AND EFFECTIVENESS
	1. SETS GOALS and performance standards
	2. TAKES INITIATIVE
#2	MANAGEMENT CONTROL
	1. PLANS AND ORGANIZES
	2. OPTIMIZES use of resources
	3. DELEGATES
	4. MONITORS RESULTS
	5. REWARDS
	6. DISCIPLINES
#3	SKILLFUL USE OF INFLUENCE
	1. INFLUENCES
	2. TEAM BUILDS
	3. Develops subordinates (COACHES)
	4. SELF-CONTROL
#4	ADVISING AND COUNSELING
	1. POSITIVE EXPECTATIONS
	2. Realistic expectations (NEGATIVE EXPECTATIONS)
	3. UNDERSTANDS
#5	CONCEPTUAL THINKING
	1. CONCEPTUALIZES; applies concepts to a job situation

Table IV. Curriculum Clusters [Ref. 38:p. 20]

The fourth competency cluster is advising and counseling. This implies giving advice and counsel to personnel to raise trust in their ability and worthiness in order to make them excel in the performance of their job. Major components of this cluster are positive expectations, realistic expectations and understanding which all takes a great deal of productive communication.

The final competency cluster is conceptual thinking. Conceptual thinking revolves around the idea of gathering relevant facts, organizing the facts, inductively identifying the problem and drawing a sound, realistic inference about that problem. This process implies the use of alternative and comparative concepts to assure that the final

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judgments are based on and supported by factual evidence. This cluster has only one component -- applying concepts to a job situation.

The LMET/NAVLEAD curriculum contents also include six leadership styles on a continuum:

1. Pace setter

2. Authoritarian

3. Affiliator

4. Democratic

5. Coercer

6. Coach

The core curriculum of the LMET/NAVLEAD program is the 16 competencies. However, at each level there is differing emphasis where certain competencies are relatively more important at certain levels. For example, what makes a good commanding officer or executive officer may not be appropriate in a division officer or a department head.

LMET/NAVLEAD has acknowledged the level variations in leadership and management and the contents of the Department Head Course have been distilled down to ten competencies, as shown in Table V and 13 competencies as shown in Table VI for Divisional Officer Courses.

The leadership training is implemented in two phases. In phase one, for division officers and department heads, leadership training occurs in the form of LMET/NAVLEAD. The officers in later careers as executive or commanding officers receive their leadership training in the form of the Command Excellence Course.

To shed some light on the overall content of the leadership training, the author will discuss and analyze Navy leadership courses taught to the Surface Warfare Officers (SWO) at both the division officer/department head and executive and commanding officer levels. They are used as the example because the SWO community is the most predominant in the Navy.

1.	Takes Initiative.
2.	Sets Goals.
3.	Influences.
4.	Conceptualizes.
5.	Team Building.
6.	Reward-Motivation.
7.	Self-Control (maturity, reliability, dependability, integrity, fairness).
8.	Plans and Organizes (scheduling).
9.	Optimizes (identifies resources, person/job match, emphasis on efficiency).
10.	Monitors Results (seeks, information, feedback).

Table V. Department Head Characteristics

1.	Takes initiative.
2.	Follows through.
3.	Demonstrates self-confidence.
4.	Seeks information.
5.	Plans.
6.	Manages time efficiently.
7.	Enforces high standards.
8.	Promotes good working relationships with the chief.
9.	Demonstrates concern for others.
10.	Accepts responsibility.
11.	Influences.
12.	Communicates.
13.	Problem-solves.

Table VI. Characteristics of Outstanding Division Officers

D.   LEADERSHIP TRAINING BY LEVEL OF RANK

1.   Division Officers and Department Heads

The division officers receive their LMET/NAVLEAD training as part of their basic training in seamanship, engineering and combat systems. The contents are designed to give the junior officer at this level a general idea of what leadership is all about. Again, the contents are based on the 13 competencies previously listed in Table VI. In

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this case, the term "characteristic" is used instead of competency. A more detailed definition of the 13 characteristics is presented in Appendix B.

The basic division officer course objective is to provide practical job-related leadership training for new division officers to enable them to develop quickly as effective leaders and managers. [Ref. 39:p. 1.1-5]

The course is instructed for 8 hours a day for five consecutive days. Content consists of five units as follows:

1.   Gaining job clarity.

2.   Managing key relationships.

3.   Building successful teams.

4.   Team work through leadership.

5.   Practical applications. [Ref. 39:pp. 1.1-0 - 5.1-0]

Each unit takes one day 8-hour time, and divided into several lesson topics. For example, the first unit (gaining job clarity) comprises the following topics:

- Introduction to Navy leadership development program (NAVLEAD); Administration; Introductions; Course Review.

- Concerns and Expectations.

- Effective Communications.

- Identifying the Division Officer's Roles and Responsibilities.

- Commanding Officers' Presentation.

- Wrap-up and Homework. [Ref. 39: pp. 1.1-1 - 1.6-1]

The main theme and learning objectives of this unit is to provide an introduction to the complex aspects of the Division Officers' job and acquaint him/her to the new environment, the relevant competency and factors required from him/her to perform effectively in this position.

The emphasis is on inculcating in the mind of division officers a clear picture of their job expectations, activities, roles and responsibilities in order to instigate the need

for division officers to be active in trying to understand and master many aspects of their job. The content and terminal objective of each unit is further outlined in Appendix C.

In summary, the LMET/NAVLEAD content covers a wide range of topics including counseling, leadership styles and learning styles. More emphasis is placed on the different roles a division officer must play, along with his duties and responsibilities. LMET/NAVLEAD implies that the division officer needs to be a motivator, educator, manager and leader as well as an active contributing member of the wardroom. In addition, LMET/NAVLEAD attempts to teach the division officer the importance of defining goals that inspire and instill a pride in the organization through group participation and sharing ideas to gain a common vision for the command. Also, the contents involve long and short-term planning concepts and how vital this is in dealing with the chain of command, both upwardly and downwardly. The principle of rewards and punishments as motivation are introduced through first setting standards and then measuring reward or punishment against that standard.

LMET/NAVLEAD asserts that a division officer must know the previously discussed six leadership styles. One or two styles may be in use for most of the time, but all the styles may be used depending on the situation.

The Department Head Curriculum is similar in content. However, this course also teaches the 10 competencies previously listed in Table V. The major difference is the introduction of the Command Excellence Model. Students are instructed to relate to the model in a format of the command climate, where the Department Head's responsibilities, such as building professional relationships, maintaining high standards of performance, promoting training programs and development of department personnel, and communicating the department's role within the chain of command are all emphasized in terms of accomplishing and supporting the overall command mission, which further broadens the Department Head's influence within the command, encouraging him/her to go beyond their routine duties to establish and maintain an effective organizational climate.. In this case, the command climate is measured in terms of flexibility, responsibility, standards, clarity, rewards and punishments, and team spirit.

The entire course lasts for a week, and it consists of six units as follows:

1. Introduction

2. Goal setting

3. Management control

4. Skillful use of influence.

5. Advising and counseling.

6. Applying concepts to job situations. [Ref. 40]

Each unit is further divided into several topics to sufficiently cover the materials and the related issues at a time period. For instance the fourth unit (advising and counseling) includes the following topics:

- Introduction to counseling

- Performance review and counseling

- The referral process

- Personal problem counseling

The department head course content follows the five competency clusters mentioned in Table IV. The department head officer is expected to learn and apply all the 16 competencies which underlie those five clusters. However, more emphasis is placed on the competencies or behaviors which McBer's research validated as critical to the department head's job and responsibility. For example, among the six competencies in the management control cluster only plan and organize, delegates, and monitors results are proven to have the greatest impact on being a superior department head, and hence should be given further attention and explained in more details. Synopsis of the content and enabling objectives of each unit is further defined is Appendix D.

2. Executive and Commanding Officers

Prospective Executive Officers (PXO) and Prospective Commanding Officers (PCO) receive their leadership training in the form of Command Excellence. The content of this course is based on the eleven characteristics found in Table VII and the Command Excellence Model, described earlier in Figure 3. The model contains essential ingredients

for success in producing command effectiveness in light of an organizational system whose parts are all interrelated and call for practical connections. The essence of the model are the command excellence characteristics which are further discussed in Appendix E.

1. Sense of responsibility.
2. Positive expectations.
3. Informed judgment.
4. Conceptualization.
5. Use of Multiple Influence Strategies.
6. Command influence.
7. Conscientious use of discipline.
8. Effective communication.
9. Planning.
10. Initiative.
11. Monitoring for results.

Table VII. The Eleven Characteristics of US Navy Senior Officers

Although most of the content of the leadership training program, such as ethics or standards of conduct, attempt to address the basic tenets of leadership, the course does contain other Navy leadership programs that seems unrelated to the subject, but are considered to be of high value. These consist of the following:

- Equal opportunity

- HIV/AIDS

- Rape awareness

- Financial management

- Career information

- Smoking cessation

- Standards of conduct/ethics [Ref. 32:p. VI-8]

These programs provide useful information, but they do not deal with the fundamental concerns of leadership. An officer who is well-versed in all of the Navy's policies and prescriptive behaviors does not automatically have a good grasp of leadership.

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E. PAST EVALUATIONS OF THE LMET/NAVLEAD

1. Minton, Saad, and Grace

A study done by Minton, Saad, and Grace [Ref. 41:p. 1.1] contains the results of an assessment of the Leadership and Management Education and Training (LMET), Leading Petty Officer (LPO) Course. System Development Corporation (SDC) McBer and Company, a partner in the design of the LMET program, conducted this assessment for the Navy in March 1979 under contract.

Two Navy instructors taught the assessed course with 27 first class petty officers participating as students. All had different backgrounds, as well as different career fields. The goal of the entire course was to increase leadership effectiveness by providing the participant with competency skills associated with superior performers. The objectives of this assessment as specified in the task order were:

1. To perform an on-site evaluation of the delivery of the course. Of specific concern were the ability and proficiency of Navy instructors to effectively teach/deliver the course in compliance with course objectives.

2. To review instructor guides and student journals. Emphasis was on the adequacy of materials as they effected delivery, and on evaluating any local or program sponsor modifications made in the delivery since the initial offering of the course.

3. To provide specific recommendations for management decisions concerning the assignment of Navy instructors to deliver such course.

The variables this study was trying to measure were: knowledge and skill acquisition, knowledge and skill usefulness, course objectives, course content and process, course material, instructor effectiveness, and effectiveness of instructional methods, through finding out the student reactions, and understanding of course material.

Student evaluations and perceptions were collected at the end of each day, for each unit, and each week. On-site observations were made throughout this assessment and blended with results of the analysis assessment instrument data to provide the basis for conclusions and recommendations.

Some of the findings that are in line with this thesis are:

- Participants seems to enjoy the training and considers it useful.

- The participants were not aware of the enabling objectives of the course.

- There wasn't enough time to indulge in a practical exercise.

- The course materials were more of a civilian-oriented than Military, and need to be aligned to military situations.

The conclusion was that the LMET course should be continued and the training should be made available to all, however they recommended that the courses be standardized with a heavy emphasis on subcompetency skills (e.g., delegating, resolving conflicts, concern for influence, conceptualizing a problem, positive expectations, and leadership styles). Additional recommendations were to tailor the overall courses to the Navy need and organizational climate with more involvement in skill practice activities than conceptual learning models and theories.

2.   Vandover and Villarosa

The 1981 thesis done by Vandover and Villarosa described the design and use of the pilot study concept as a preliminary step in directing Navy program evaluations. It focused specifically on Navy LMET and emphasized that the pilot study was not an evaluation of the LMET program. Rather, to point-out the usefulness of the pilot study to measure the overall LMET program effectiveness.

The authors also emphasized that Navy leaders and managers at all levels have a real need to know the effectiveness of the LMET program. They said "the clear way to demonstrate this usefulness is to conduct a program evaluation." [Ref. 42:p. 133] The goal of the study was to obtain useful data on LMET effectiveness to better design a much larger overall LMET evaluation. Constrained by time and with limited sufficient background experience, a small-scale pilot study was conducted rather than a complete evaluation of LMET effectiveness.

The study found:

1.   An overwhelming majority of sample graduates view LMET school as a useful training evolution.

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2. The actual knowledge of LMET training, while not always initially evident, appeared good.

3. Systematic behavioral changes linked directly to LMET were not found because the LMET graduates did not exhibit any behavioral changes in the sense of applying whatever learned in the class on the job such as setting goals, performance standards, and taking initiatives.

4. There may be a negative correlation between seniority and extent of behavioral change. Personnel in higher rank were less affected by LMET training as far as changing their behavior. There was some subjective indication that they, in fact, could better appreciate the material and its application.

5. Most officers and petty officers seem to view LMET as a valuable and much needed training program. LMET training seems to provide the leadership/management theories and tools with which they could do their jobs.

6. Most sampled LMET graduates reported that job performance measures had increased or remained high in their work groups since their completion. Petty officers reported lower perceived impact on work group performance than chief petty officers or officers. This may reflect the first class petty officers perception that being lower in the chain of command affords less chance to influence the system.

7. As for job satisfaction changes, there were no consistent patterns of change across the entire sample that could be attributed to LMET.

8. There was no systematic cause and effect relationship between retention and LMET training. Overall, LMET was viewed as a positive experience and there were some specific examples and indications that behavioral changes had taken place. However, the authors indicated that the pilot study did not eliminate a need for LMET evaluation, rather, it reinforced that need.

The important relevant conclusion is the absence of systematic behavioral changes in terms of practically using the learned competencies on the job almost across the whole sample. Those who did show some behavioral or competency change stated that, "they did so prior to LMET school, while those not exhibiting the behaviors desired did not see the values of those competencies." [Ref. 42:p. 92]

The need for affecting and reinforcing behavioral change is an issue that should be dealt with by other means such as increasing the graduate's awareness through communication aspects and feedback concerning performance.

3.   Cissell and Polley

In a 1987 thesis, Cissell and Polley studied the relationship of LMET to shipboard effectiveness and readiness. Their goal was to determine if LMET training affected measure of effectiveness (MOEs), such as exercise and inspection scores, Unit Status and Identity Report (UNITREP), combat readiness ratings, and personnel retention.

The results did not indicate a significant relationship between MOE and LMET variables for most of the comparisons. Correlations that did appear significant were not present in both the Atlantic and Pacific Fleets. The results revealed only few significant variables sharing a measurable relationship between LMET and several fleet MOEs.

The reasons determined by the authors for the weak relationship and lack of consistency were:

1.   The data on LMET attendance may not be accurate.

2.   Measures of effectiveness (MOEs) data lack clarity, reliability and validity.

3.   Competencies and behavior learned in LMET may not be reinforced (rewarded) in the fleet. [Ref. 43:p. 40]

In conclusion, they listed several recommendations for improvement of the LMET program. These recommendations included making further efforts to tailor the courses to the developmental needs of officers and NCOs and to institute a "mobile" LMET team to perform the training for all levels.

Cissell and Polley indicated that more extensive efforts to evaluate LMET were necessary because the program had not been evaluated regarding its effect on operational unit performance since its inception.

4.   Parker

Donald F. Parker conducted thesis research in 1981 under the title of Leadership Training in the Navy to assess the overall LMET effectiveness where he examines the

nature of leadership training in the Navy through the history starting from World War II until the foundation and implementation of the LMET program.

Parker questioned the McBer and Company research methodology, specifically the small sample and the coding process.

Some of the findings and conclusions are as follows:

- McBer and Company as an outside developer lacks the full-detailed understanding of the Navy's nature of leadership and therefore an internal expertise could have better developed LMET.

- No clear purpose of LMET has been established and "no one has specified what a graduate must know or be capable of doing." [Ref. 30:p. 214]

- A comprehensive, detailed definition of requirements was not incorporated into the design of LMET.

- In testing and validating procedure, there are inconsistencies; also instructional material, and stated objectives were not adequate.

- The concept of the competency doesn't have a validated theoretical basis, nor does it account for situational factors. "The competency approach essentially ignores the situational component, implicitly treating this variable as a 'black box' for which no specific training is required." [Ref. 30:p. 210]

The relevant conclusion here is that the LMET courses are without adequate outcome objectives, and therefore the construction of a successful comprehensive evaluation is difficult. In this case, an extensive follow-up evaluation of LMET to obtain required information was recommended by Parker as the only alternative.

5. Zero-Based Study

The final issue concerning officer leadership training is the finding of the Zero Based Training and Education Review (ZBT&ER) which was completed in 1993. It states the problems as:

Officer leadership training is not centrally controlled or standardized. Different communities have varied definitions of, priorities for, and methods of providing officers with leadership training. [Ref. 32:p. IV-4]

Specifically, the ZBT&ER noted the following deficiencies:

- Only 38-percent of Navy officers receive NAVLEAD training, primarily surface and submarine officers at the division and department head levels.

- Absence of a single authority responsible for program management, resources, and curriculum control. The Chief of Naval Education and Training, Bureau of Medicine, Bureau of Personnel, N1, and the Office of General Counsel all have cognizance over one or more areas of leadership training.

- A non-sequential, non-progressive, and disjointed education and training continuum, resulting from varying perceptions about leadership requirements across different communities.

- Absence of an assessment system for individual/curriculum effectiveness.

- Lack of subject matter experts for the development of the curriculum.

The last two deficiencies illustrate the point that is often made concerning the development of training programs: few programs are evaluated and many programs are "jump-started" without a thorough analysis of instructional needs. [Ref. 44:pp. 26-29]

Fortunately, the ZBT&ER does not only identify problems. A new officer leadership continuum is proposed, ensuring that the training is standardized, sequential, mandatory and integrated. It includes not only the appropriate career points and course titles, but also an outline of the major precepts that will be taught at each level of training as shown in Figure 4.

RANK	AVG. YEARS IN SERVICE	MILITARY PROF. MILESTONE - BENCHMARK	STD FORMAL NAVY TRAINING	PRECEPTS
CDR/CAPT	15+	COMMANDING OFFICER/OIC	PCO	SETTING THE STANDARD MACRO VIEW J.O. DEVELOPMENT TRANSFORMATIONAL LEADERSHIP
LT/LCDR	4-14	MIDGRADE OFFICER	DEPARTMENT HEAD/ DESIGNATED STAFF BILLET	PROF. GROWTH DELEGATION, MGMT, AND STAFF SKILLS
ENS/LTJG	1-4	JUNIOR OFFICER	DIVISION OFFICER	RESPONSIBILITIES, TEAM BUILDING
MIDN/OC/ ENS	0-1	INDOCTRINATION/ ORIENTATION	ACCESSION/FIRST TOUR TRAINING	LEADERSHIP PRINCIPLES AND CORE VALUES

Figure 4. Proposed Officer Leadership Continuum

F. FUTURE LEADERSHIP TRAINING TRENDS

Overall leadership training is an ever-changing matter. The actual day-to-day content of particular LMET/NAVLEAD courses is tailored to be appropriate for the billet and the situation of the participants. Recently, the author has been informed, a major change has taken place. The contents will be revamped again and new courses will be on-line. Programs such as HIV/AIDS, Rape Awareness and Smoking Cessation will be abolished.

The new leadership continuum will also be more structured and mandatory at each level of command. It is designed to be more situationally leadership oriented and will address only topics which will aid every officer at his level to do a better job. The emphasis will be on ethics, core values, responsibility, and accountability. However, the conversion to the new leadership continuum will take effect by the end of Fiscal Year 96, when all courses are completed and on-line, the officers leadership continuum is shown in Figure 5.

LEADERSHIP CONTINUUM (OFFICER)
SEQUENTIAL AND PROGRESSIVE CURRICULUM

CO (2 WKS)
- ESTABLISHING COMMAND CLIMATE
- SYSTEMS THEORY
- EXCHANGE MANAGEMENT
- COMMUNICATIONS W/MEDIA
- USING RESERVE ASSETS

XO (2 WKS)
- REINFORCE/ASSESS COMMAND CORE VALUES
- PROCESS OVERSIGHT/OWNERSHIP
- REWARDS AND RECOGNITION

DEPT HD (2 WKS)
- REINFORCE/MODEL CORE VALUES
- PROCESS MANAGEMENT
- DATA BASED DECISION MAKING
- MISSION AND ROLE OF RESERVE FORCES

DIVO (2 WKS)
- DEMONSTRATING CORE VALUES
- PROCESS IMPROVEMENT
- TEAM BUILDING/FACILITATION
- MAKE-UP OF THE NAVY (ACTIVE, RESERVE, CIVILIAN COMPONENTS)

ACCESS
- CORE VALUES AWARENESS
- QUALITY PHILOSOPHY
- BASIC COMMUNICATION SKILLS
- ORGANIZATIONAL STRUCTURE

AWARENESS ⟶ COMPREHENSION ⟶ APPLICATION

Figure 5. Officers' Leadership Continuum

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G.   SUMMARY

Navy leadership training and development has been in place for so many years to stand as a cornerstone for an officer's professional career. The purpose is to provide job-specific leadership and management training with the ultimate goal of promoting officers' continuing self-development in the leadership competencies.

In this chapter, the author examined the officers' leadership training contents. The LMET/NAVLEAD courses which were discussed are: Division Officer, Department Head, and Command Excellence for PCO/PXO. These courses cover a wide-range of topics, including communicating with immediate superiors and subordinates, leadership styles, counseling and learning styles.

The analysis of these leadership courses indicates that competencies are the foundation of their contents. The 16 leadership competencies developed by McBer and Company are the core of the curriculum. However, while each of the 16 competencies is important for leadership at every level in the chain of command, there are certain competencies which are relatively more important than others at specific levels.

Also, this chapter addressed all the related issues as well as theoretical basis of the training, organization of the training, structure, instructional method, contents, past evaluations and training review and critique. In summary, it appears that an effective method for evaluating this training has not been utilized. The main objective of this chapter was to outline the leadership training and examine LMET/NAVLEAD content in particular. This content analysis will allow the comparison and matching process with popular leadership theories which is the subject of Chapter V.

V. LEADERSHIP IN THE NAVY COMPARED WITH THEORIES OF LEADERSHIP

The purpose of this chapter is to compare and contrast both the Naval definition of leadership and Naval leadership training with popular leadership theories. The first section presents the results of comparing the Navy's definition of leadership, as discussed in Chapter III, with the leadership theories presented in the second section of Chapter II. The second section of this chapter makes a similar comparison between the theory at work in the Navy's LMET/NAVLEAD programs and theories of leadership.

For the comparison process that leads to the initial findings, the author examined over twenty definitions of leadership referred to in Chapter III and then elects the seven definitions which are replicated in Table VIII, mainly because the seven definitions are cited repeatedly in more than one Navy publications and been emphasized specifically in Navy books designed for study and school purposes. It is the feeling of the author that those seven definitions cover a wide range concepts of the Navy leadership which the rest of the definitions reiterate in different wordings, but convey the same meaningful concepts found in those seven definitions. These were therefore picked as representatives to simplify and avoid a cumbersome lengthy comparison process.

Also, the 16 competencies identified by McBer & Company comprise the fundamental tenets of the LMET/NAVLEAD curriculum taught to the Navy officers at all the levels (Division officer, Department head, and Executive and Commanding officers) with only varying concentrations of those competencies at each level. Meanwhile, these 16 competencies are grouped into five clusters for learning purposes. Hence, and for the same reasons, the author uses these five curriculum clusters as a base for comparison. They can be seen in Table IV, page 63.

The seven chosen definitions of Navy leadership and the five LMET/NAVLEAD curriculum clusters are compared and contrasted not individually, but rather as a whole set with the following theories of leadership:

1. Great Man and Trait
2. Rensis Likert's Theory

3. Situational Leadership

4. Contingency Theory

5. Path-Goal Theory

6. Multiple Linkage Framework

7. Role Theory

8. Transactional Theory

9. Transformational Theory

10. Theory X and Theory Y

11. Blade

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1. [T]he art, science, or gift by which a person is enabled and privileged to direct the thoughts, plans, and actions of others in such a manner as to obtain and command their obedience, their confidence, their respect, and their loyal cooperation. Simply stated, leadership is the art of accomplishing the Navy's mission through people. [Ref. 18:p. 1]

2. [T]he term leadership can mean the body of doctrine that has been formed in regard to an area of human conduct, or it can refer to the sum of actions employed by one person dealing with others. It is often used as a summary term to describe the level of success of a command, of a unit, or of a person. [Ref. 20:pp. 1-3]

3. Leadership [consists] of an individual's development of the human influences surrounding their position through the sum of their beliefs, knowledge, and skills obtained via education, training and Navy experience. [Ref. 20:pp. 1-3]

4. The process of influencing the activities of the organized group in its task of goal setting and goal achievement". [Ref. 22:p. 66]

5. The ability to inspire the officers and men of one's command to maximum effort under all conditions". [Ref. 24:p. vii]

6. The art of influencing human behavior. It may be defined as the "art of imposing one's will upon others in such a manner as to command their obedience, their confidence, their respect, and their loyal cooperation." Put in everyday words, it is the ability to handle men. [Ref. 26:p. 187]

7. Leadership is the key to a productive unit, whether it is a radio shack on a frigate, a missile division on a Trident-class submarine, or a squad on a night deployment. Creating conditions that motivate troops, giving decisive commands, being available to answer questions, and setting an example in dress and demeanor, are all days to being an effective leader and, in turn, a good officer." [Ref. 27:p. 4]

Table VIII. Seven Definitions

A. NAVY LEADERSHIP DEFINITIONS AND LEADERSHIP THEORY

Since the comparison process will be organized around leadership theory, it is important that the seven selected Navy definitions of leadership be looked at and analyzed in a broad context to recognize and recall the main theme and key points of each. The concept of the definitions taken as a whole will then be compared to each theory, with only those definitions that relate to and are reflected in each theory considered a match.

The Navy's first definition has its focus on the essential personality aspects each leader must have to effectively lead others and accomplish the mission. These personal characteristics and traits are either endowed as natural "gifts" or are acquired. The definition also emphasizes group processes in a command climate, where the leader must act and behave in such a manner to obtain accomplishment of the mission through subordinates and not take all the credit for him/herself. Furthermore, the broad context of this definition includes task oriented behaviors of the leader such as direction and planning to achieve the tasks, and hence, implies their desire and willingness to steer and support the behavior of others towards accomplishing such tasks. In addition, this definition has an inspirational aspect as it implies the setting up of standards of achievement which may not always be attained, although such standards are highly desirable goals in the practice of Naval leadership which underscore the development of a strong commitment, confidence and loyalty.

The second definition of Navy Leadership states that leadership is a behavior process which focuses on exercising influence, goal achievement and interactions with others. It implies principals of effective command and control systems in the sense that it makes it necessary for leaders to clearly define their actions, fundamental responsibilities and surrounding relationships to their subordinated in an organized doctrine-like means. Therefore, leaders and subordinates alike are guided through a dynamic leadership process that keeps them informed and connected to what is taking place around them and enhancing decision making, issuance of necessary orders and the monitoring of all actions, leading to a unity of effort that results in a successful completion of the assigned mission.

The third Navy definition of leadership emphasizes an important aspect of behavior where exercising influence is an integral part of leadership, and leaders are expected to influence those people around them by exerting their personal power, combined with the power invested in their position, to induce others to take action and accomplish the task. This definition also conveys a developmental role that should accompany the leadership process, and admits that leadership is more than holding a position of power. To enhance their influential role, leaders have to develop and educate themselves via various means, including training and experience to acquire the needed knowledge and skills, such as persuasion, communication and problem-solving, which are all necessary to be an effective leader. Finally, the term "human influences", stated as a plural in this definition suggests more than one type of influence which leaders may practice and use to make their followers behave in desired ways and obtain their compliance.

The Navy's fourth definition of leadership again features the dimension of influence, which includes the use of personal, positional and legitimate power as goal setting and goal achievement concerns. The definition implies voluntary cooperation through the process of interpersonal relations, allowing the leader to influence others' activities without controlling them, and hence receive their willing compliance. The overall contextual meaning of this definition is similar to the third definition, except this definition inclines toward specific objectives, where the influential behavior of the leader is geared to produce the desired results, especially during the goal setting and goal achievement phases. The limit of the leaders' influence on the activities of the organized group stems from the nature of leadership in the Navy, a system based on highly structured, hierarchical, organized groups or units expected to have well defined goals.

The Navy's fifth definition emphasizes the importance of the inspirational factor, where the ability to inspire subordinates is a highly demanded leadership quality, which in turn requires leaders to be self-confident, enthusiastic, energetic with a positive attitude, who not only grasp and deal with present situations but have a futuristic vision as well. Inspiration is an aspect of behavior that brings the leaders into intimate association with their subordinates or followers to the point of sharing ideals, beliefs, values and common

goals that foster leader-follower development and understanding. Overall, the inspiration process within this definition encompasses other leadership elements as well, such as influence, sense of purpose and direction, confidence, motivation, performance or task-oriented behavior, integration, interpersonal relations, mutual respect and trust, understanding, and development of one's self and others.

The sixth definition of Navy leadership focuses on the behavioral approach which is concerned with what leaders do, such as planning and coordinating, supervising, exerting influence, carrying out responsibilities, rewarding excellent performance, inspiring subordinates, etc. These, and other, aspects of leadership behavior are related to leader effectiveness. The point of focus in this definition is influence and its process between the leader and his/her subordinates. Here, influence is regarded as an act of leadership that is intended not only to benefit the leader, but the members of the group and the organization as a whole. The definition proposes that "leadership is the art of influencing human behavior, and the art of imposing one's will upon others in such a manner." This "art" includes personal interactions that result from a working relationship among members of a group on one hand, and an active participation and demonstration of capacity by the leader on the other. The influence process or imposing one's will upon another is extremely difficult and takes much of the leader's time and effort to do everything possible to make those under them have confidence and respect in their ability. Yet, influence is expected to come through non-coercive means despite the presence of authority and power invested in the leader. This is where the manner of leaders' influence and how he/she exerts that influence becomes vital to produce the desired results such as obedience, confidence, respect, and loyal cooperation, which in turn guides the subordinates to successful completion of the task.

The Navy's seventh definition not only stresses the importance of leadership, but specifies the goal and the purpose of it is to produce the desired result. Here, productivity is used as criteria for leadership effectiveness. The success of the leader is measured in terms of productivity and the effective results, where leaders must express some unique behaviors such as creating the right atmosphere by arranging situations or conditions in such a manner

that promotes the existence of mutual goals and understanding, and hence, inducing the subordinates to act accordingly. The definition explicitly emphasizes more behavioral aspects of leadership such as motivation, inspiration, expectation, group cohesiveness and satisfaction. Therefore, the definition's focus is still more on interpersonal issues rather than on control issues, where the leader provides the needed support and establishes standards to integrate subordinates' needs and the units' goals. In this definition, these aspects of behavior are evident in phrases such as "creating conditions that motivate", "giving decisive commands", "being available to answer questions", and "setting an example".

1. Great Man and Trait Theories

The Great Man theory revolves around the premise that leadership is an inborn personality trait, and only those who are naturally inclined toward leadership can be a leader. The Trait theory assumes that leaders and non-leaders both can be easily identified on the basis of traits and personality and character alone. In other words, these theories focus on who the leader is.

Taking the seven definitions of Navy leadership as a whole, it appears that only the first definition matches the concept of this theory, as it acknowledges leadership as the personal qualities and attributes of individual characteristics and traits that are endowed as natural "gifts." When used properly, these inborn qualities or "gifts" may promote the success of the leadership process.

2. Rensis Likert's Theory

Rensis Likert's theory centers around a leader's behavior, and what a leader does in return affects the outcome. This theory deals with command climate, supervisory leadership and workgroup processes, where the issue of influence is in the center. It stresses the leaders' need to consider the human contributions to an organizations' output in order to activate the subordinates' potential and give them a sense of purpose and worthiness in their job. Hence, leaders have to identify to their subordinates their role in the organization, their influence and authority, and the characteristics of the organization, and then act and interact

with them for the purpose of linking them together (Linking-Pin concept) and enhancing an effective influence over them.

Looking across all the selected definitions of leadership, the concept of this theory tends to be consistently reflected in all of them in the following ways:

- The definition emphasize the leadership process through group actions and efforts in a command climate atmosphere.

- The definition encourages task-oriented behaviors and a relationship behavior on the behalf of the leader, such as in the thoughts, plans and actions of others, but within a frame that considers the subordinates' contributions and enhances their self-worthiness.

- The definitions imply the use of influence as it comprises the essence of leadership yet asserts the use of such influence should be in an effective, non-abusive way that promotes an atmosphere of better communication, participation, trust and confidence, which in turn results in increasing the overall productivity.

3.   Situational Leadership Theory (Hersey and Blanchard)

This theory identifies and elaborates on the major components of emerging, effective leadership such as the ability to understand and predict people's behavior and the willingness to accept the responsibilities of directing such behaviors towards achieving results while establishing a leadership model that incorporates the situation. The theory identifies the components of effective leadership as the leader's ability to understand subordinates' behavior and why they act the way they do, the capability of predicting their behavior on the job, and leader's willingness and desire to accept and carry out leadership responsibilities and guide the behavior of others toward accomplishing the desired results. For effective leadership, this theory suggests that leaders should engage in task-oriented behavior on one hand, and relationship behavior on the other. However, practicing more of one behavior over the other is dependent on the situation, which Hersey and Blanchard call follower "maturity or readiness."

When compared to the seven definitions of Navy leadership, this theory shows congruence to some extent in the following ways:

- The definitions are concerned with two broad categories of leadership behavior (task-oriented behavior and relationship behavior)

- The definitions imply that leadership is situational and leaders have to act accordingly, without restricting this situational aspect to only the readiness of the follower, but rather the overall varying situations as they exist should be looked at an considered by the leader.

- The two organized patterns of behavior (task-oriented behavior and relationship behavior) are a major part of the influence process, which all the definitions explicitly and implicitly delineate and focus on.

- The theory suggests that a leader can be trained and developed in order to ingrain flexibility and extend leadership adaptability, which all the definitions call for, as they recognize that leadership is a group process that can always be improved by learning and applying the techniques and principles of effective leadership, such as knowing how to create conditions that motivate people, understanding their behavior, and later, being able to predict that behavior in order to prepare and arranged such conditions that mold people into teams and encourage them to reach the high performance goals when accomplishing the tasks.

4. Contingency Theory

This theory discloses the importance of the situation, where there is no one set of leader behaviors, trait, characteristics, or skills that constitute a good leader in every situation. Rather, it is the fit between the leaders' personality, behaviors, and skills and the situation on hand that indicates an effective leader. The theory also distinguishes three situational variables that govern the effectiveness of a leader; leader-member relations, task structure and position power. Here the situation is defined as "the degree to which the situation provides the leader with power and influence." [Ref. 7:p. 295]

Comparing the seven definitions with this theory indicates that all match this theory concept except for the second definition. They match in the following ways:

- The definitions imply that leaders' effects and influences on subordinated are not absolute, but vary according to situational variables. However, they do not specify such variables.

- The definitions advocate various patterns of leadership behavior to accommodate the situation at hand and achieve the desired end result.

- The definitions demand leaders to excel under all conditions by exploiting the favorable situation to enhance their influence over their subordinates and assist in creating the right conditions that motivate subordinates to excel in their performance.

5. Path-Goal Theory

The Path-Goal theory proposes that perception shapes the behavior, and if subordinates perceive that being a good performer is the easiest "path" to attain personal goals, then they will be inclined to follow this path and be a high producer. Otherwise, if the personal goals are obtained easily in other ways, the subordinates are likely to follow that direction and not produce as much. Therefore, the leaders' task is to increase the subordinates' personal rewards for performance, making the path to their goal clearer and easier. In addition, the theory introduces situational variables that affect behavior, such as subordinates' characteristics, the nature of the group, the task and the work environment.

The Path-Goal theory matches only five of the seven leadership definitions: the first, second, fifth, sixth and seventh. They match in the following ways:

- These definitions imply situational factors such as the nature of the subordinates, task and work conditions, where the leader must pay attention to such situational factors as they affect the behavior of the leader, and in turn, the subordinate motivation and compliance.

- These definitions have their focus on the end result of the leadership process, as leaders discern and observe the proper way, or "path", that help the subordinates produce and be committed to high performance standards. In this regard, the leader arranges and analyzes situations, creates standards of excellence, and then sets an example for others to follow, all for the sake of offering productivity as the best "path" to attain goals.

6. Multiple Linkage Framework (Yukl)

The Multiple Linkage Framework theory is a situational model that depicts the influence of the situation variables on leadership effectiveness, where intervening variables (subordinate effort and task skill, the leaders' role, the amount of resources and support available, and the cohesiveness and team work of the group) act as mediators that have a major impact on both the leaders' behavior and subordinates outcome. However, the situation determines the importance of each intervening variable, and leaders are

encouraged to take corrective actions when deficiencies in one of the intervening variables occurs. In addition, leaders may act to change the situation to a favorable one. This type of leadership action requires all the leaders' talents, skills, power and influence.

Comparing the Navy's seven definitions of leadership with this theory shows a great deal of congruence with this model. The matches are maintained in the following ways:

- The definitions all imply the significance of linking all the leaders' actions and behavior to the end goal of accomplishing the assigned mission.

- The definitions cover a broad range of more specific leadership behaviors, such as emphasizing performance, solving subordinates' problems, representing the unit, facilitating cooperation and team work, and inspiring subordinates. All these are parts of effective leader behavior and focus on performance or production and employ all the fundamental tools and techniques to successfully attain the overall goals.

- The definitions all emphasize the importance of the leaders' ability and capacity to adapt to the situation at hand and modify it as a means of improving subordinate performance.

- The definitions all portray leadership as an influence process that should be exerted by the leader over his/her subordinates, but in a nice manner that is considerate to the people involved and the situation.

7. Role Theory

The Role theory is an attempt to explain the process of the leaders' behavior and why he/she acts the way they do. This theory contends that the leaders' perception of his/her role requirements is the main driving force for such behavior. Hence, leaders adapt their behavior to those role expectations and requirements. These role expectations are conveyed to the subordinate and leader by written materials such as rules, regulations, policies, procedures and job descriptions.

Looking across all seven definitions of Navy leadership reveals that only the second definition is considered a match to the concept of this theory, and only in the following:

- The definition implies that leaders' role and behavior are dependent on their prescribed role, and outlined in doctrine and rules which are used to enhance the actions and interactions of people. Leaders are expected to adhere to such doctrine to shape their role and limit discretion.

8. Transactional Theory

This theory embodies the concept of exchange of benefits as a result of the interaction between the leader, the follower and their relationship. This exchange of benefits shape behavior in the groups where subordinates expect a desired gain in the form of material, psychics or other means for their contribution and effort, and the leader expects productivity and success.

Five of the Navy leadership definitions match well with this theory's concept: the first, second, third, fourth and sixth. The definitions match in the following ways:

- These definitions present the leadership process as an interpersonal issue rather than a control one, where the leader has to act and interact with others to accomplish the tasks.

- These definitions imply an intuitive form of exchange as the leadership process requires the group to be in transaction with each other to perform the tasks and maintain the status quo of cooperation and accomplishment.

- These definitions stress the importance of influential leadership, and that the leader has to exert effective influence over subordinates in a nice manner. Meanwhile, the influence process, by its nature, is reciprocal and hence, the give and take approach is vital for promoting effective influence that not only stresses subordinate behavior and action in the desired direction, but motivates them to excel in what they do.

9. Transformational Theory

The Transformational Theory observes the importance of the exchange theorem, yet goes beyond it to elevate the followers' needs to the highest level of morality and motivation. The theory is comprised of charisma (including inspiration), individual consideration, and intellectual stimulation. Through these three elements, leaders spur extra effort among their followers to conceptualize, comprehend and discern the nature of the problem they encounter.

The set of the seven selected definitions of Navy leadership maintains a great extent of congruence with this theory's precept, as five definitions (first, third, fourth, fifth and seventh) tend to match it in the following ways:

- These definitions imply the setting up of high standards of achievement which may not always be attained, such as the development of strong

confidence, commitment and loyalty. Such high standards require a leader with vision, self-confidence, abundant energy, strong beliefs and convictions in what he/she stands for in order to bring about the differences and changes in subordinates and the total unit. In other words, a transforming leader.

- These definitions encourage the leaders to use their potential influence, such as personal power, that may involve charismatic qualities, and yet proceed beyond the formal authority and positional power. Simply stated, to go beyond influencing subordinates to uplifting them and building their competence and self-esteem by inspirational appeals and pursuit of a common purpose.

10. Theory X and Theory Y

These two theories propose two styles of leadership (X and Y) which are practiced in accordance with the leaders' assumptions or beliefs they hold about their subordinates. Style (X) will be the choice as long as the leader holds negative attitudes towards his/her subordinates and perceives them as lazy, dependent, dishonest and irresponsible. In this instance, the leader has to control, direct, and sometimes coerce or punish the subordinates in order for them to accomplish their tasks. Style (Y) fits the leader who holds positive belief or assumptions that their subordinates have an appetite for work, enjoy the rewards of accomplishment and self-esteem, hold a commitment to objectives, and seeks and is willing to accept responsibility. Thus, the (Y) style of leadership allows more flexibility with less use of control over subordinates and fewer directions.

Comparing these theories with the seven leadership definitions selected shows a very weak congruence, where only the first definition indicates some degree of matchability in the following way:

- In this definition an open style is conveyed, where the leader has to elect the appropriate style of leadership and exert influence in such a manner as situations demand. However, the context of the entire definition leans toward the participative style (Y) in particular, as it fosters trust and confidence, respect and cooperation, which in turn enhances the accomplishment of the mission through people and not by them.

11. Blade

Blade's thoughts are still within leadership style, where he maintains that there are two different styles, directive and non-directive, and each style effectiveness depends on

several conditions relating to the leader and members, such as ability, motivation, enforcement of standard, intelligence and cohesion. Even though Blade tries to relate each different factor to one style of leadership or another in an attempt to explain when to use or not to use each style, his thoughts are still limiting the leader to only those two styles of leadership, while at the same time leaning to offer a best way to lead.

Only the first of the seven selected definitions of leadership shows any congruence to this theory, and in this manner:

- This definition, even though it does not recommend one style or another, implies that the success of the leadership process overall is not only dependent on what the leader does for the organization, but on the entire membership of that organization. The leaders' vigilance to situational factors, such as the ones Blade mentions and others, are necessary to obtain the subordinates' obedience, confidence, respect and loyal cooperation in order to achieve the mission's goals.

12. Summary

In summary, the findings for the selected seven definitions are as follows: the first definition matches all the target theories with the exception of the Role theory. The second definition appears to match Rensis Likert's, Situational, Path-Goal, Multiple Linkage Framework, Role, and Transactional theories. The third and fourth definition holds a match to Rensis Likert, Situational, Contingency, Multiple Linkage Framework, Transactional and Transformational theories. The fifth definition shows a match with Rensis Likert, Situational, Contingency, Path-Goal, Multiple Linkage Framework, and Transformational theories. The sixth definition reveals a match to Rensis Likert, Situational, Contingency, Path-Goal, Multiple Linkage Framework, and Transactional theories. Finally, the seventh definition renders a match with Rensis Likert, Situational, Contingency, Path-Goal, Multiple Linkage Framework, and Transformational theories. A case in point is the consistency of all the Navy's seven definitions of leadership with the following theories: Likert's, Situational, Contingency, Multiple Linkage Framework, and Transactional theories. These theories all view leadership as a group process that requires leaders to relate their influential power to the task and objective of the group. Certain leadership behaviors, such as emphasizing performance, setting goals and standards,

showing consideration and support, having the capacity to deal with and adjust to varying situations and stimulating subordinates' compliance and commitment are instrumental toward attaining the organization's overall goals and objectives, and hence, essential for effective leadership. The overall result of these findings are summarized in Table IX.

SELECTED NAVY DEFINITIONS OF LEADERSHIP	CONGRUENT LEADERSHIP THEORIES
First Definition	Great Man Theory, Rensis Likert, Situational, Contingency, Path-Goal, Multiple Linkage Framework, Transactional, Transformational, Theory X and Y, Blade.
Second Definition	Rensis Likert, Situational, Path-Goal, Multiple Linkage Framework, Role, Transactional
Third Definition	Rensis Likert, Situational, Contingency, Multiple Linkage Framework, Transactional, Transformational
Fourth Definition	Rensis Likert, Situational, Contingency, Multiple Linkage Framework, Transactional, Transformational
Fifth Definition	Rensis Likert, Situational, Contingency, Path-Goal, Multiple Linkage Framework, Transformational
Sixth Definition	Rensis Likert, Situational, Contingency, Path-Goal, Multiple Linkage Framework, Transactional
Seventh Definition	Rensis Likert, Situational, Contingency, Path-Goal, Multiple Linkage Framework, Transformational

Table IX. Results of the Comparison for the Seven Definitions

B. LMET/NAVLEAD COMPETENCY CLUSTERS AND LEADERSHIP THEORY

In this section, the author examines briefly each competency cluster and discloses its content and theme. In addition, the Command Excellence Model, which is used as a complementary set for training senior officers is elaborated on as well. Then, the five competency clusters and the Command Excellence Model are used as a set and compared to each of the subject theories to find out the extent of congruence with each theory.

The LMET/NAVLEAD courses are designed for the purpose of increasing the Navy's ability to achieve its overall mission and goals by increasing the effectiveness of Navy leadership at all levels of the chain of command. The basic objective is to provide

practical, job-related leadership training to enable officers to quickly develop as effective leaders.

1.   The Five Competency Clusters and the Command Excellence Model

The first competency cluster of the LMET/NAVLEAD is <u>efficiency and effectiveness</u>, which contains two behaviors found in the sixteen competencies. These are setting goals and performance standards, and taking initiative. In this competency cluster, achievement is strongly emphasized in terms of leader or officer action, where he/she has to know and specify what needs to be accomplished and how best to go about it.

The second competency cluster is <u>management control</u>, which in turn contains six behavioral competencies out of the sixteen total. These are:

- Plans and organizes

- Optimizes use of resources

- Delegates

- Monitors results

- Rewards

- Disciplines

This intensive coverage of the management process indicates the importance of the managerial skills and practices of effective leadership, and holds true to the classical saying that good leaders are good managers, but not the other way around.

This management control competency spells out the behaviors necessary to manage the performance of subordinates toward efficient and effective results, and hence, the concern for achievement is the underlying thought of this competency cluster. In this cluster, Navy officers are introduced to various management techniques for the purpose of instilling effective behaviors such as: preparing an action plan, analyzing alternatives, setting schedules and priorities, fully utilizing available resources in a meaningful way, identifying task boundaries, responsibility and authority, providing appropriate feedback, and evaluating outcomes according to established performance standards. Consequently,

all these techniques will help foster taking initiative through planned actions and smooth the implementation of priority set goals to attain the desired outcome.

The third competency cluster is <u>the skillful use of influence</u>. The behaviors associated with this competency are:

- Self-Control

- Influences

- Team Builds

- Develops Subordinates

In this cluster, officers are introduced to the influence process and how the essence of leadership is impacted by this process as the officers' concern for influence grows as a result of challenging duties or occupying a delicate position in the chain of command. Since this concern for influence is triggered by a power motive, the officers are acquainted with five different bases of power such as reward power, coercive power, expert power, legitimate power, and identification power. Officers are encouraged to use the appropriate base of power, which in turn furthers effective goal achievement for the benefit of the organization rather than for the individual. For example, officers are told to practice self-control, hold back anger and any impulsive saying or action, exercise influence in a persuasive, selling idea manner, communicate and provide training opportunities, expert help and resources to further develop the subordinates potential talent and skill.

The fourth competency cluster is <u>advising and counseling</u>, which calls for giving advice and proper counseling to personnel to further promote confidence in their abilities and make them feel worthy, which in turn enhances performance improvement. Positive, realistic expectations and understanding comprise the behavior competency of this cluster. In this cluster, advising and counseling tasks are clearly defined. Procedures, useful techniques, and steps of action for effective counselor and advisor behavior are pointed out to smooth preparing and conducting each task professionally and effectively.

The fifth and final competency cluster is <u>conceptual thinking</u>. Conceptualization by itself is not a separate behavior from the competency clusters mentioned above, rather it is a skill that involves all of them. Conceptualization is used daily, to a certain extent, to assess a situation, analyze information and draw effective conclusions in order to select a course of action or solve a problem. This skill comes through experience and practice, and the leader is expected to use it to overcome adverse situations and make a sound judgment.

The aim of the <u>Command Excellence Model</u> (CEM) is to help officers lead their command to superior performance. It explains how different groups or commands work effectively together, such as [CO], [XO], Wardroom, Chiefs, and Crew and how they relate to the key activities of planning, standards, morale, communication, training and development. The model proposes a system view of command and leadership effectiveness, where change in one area affects other areas. It consists of three integral parts of command: people, relationships and activities, all of which are interrelated and should be well connected in order to excel in accomplishing the overall mission.

2. Comparison of the Selected Leadership Theories with the Five Competency Clusters and the Command Excellence Model

The <u>Great Man and Trait Theories</u> hold the belief that leadership qualities are solely a function of heredity and only those born with such qualities could be expected to hold leadership positions and assume its role. Looking across the five competency clusters and the CEM reveals no congruence, as both the competency clusters and CEM explain leadership in terms of definite behavior rather than traits of personality and character.

<u>Rensis Likert's Theory</u> involves leadership behavior and managerial activities as they pertain to effective supervision, work group processes and a leader's need to consider human contribution. Leaders are cooperative with subordinates and foster group discussions and mutual participation. However, subordinates are given clear roles to play in the organization and leaders act as the "linking-pins" between upper and lower chains of command. Finally, the theory identifies the four systems of the management

continuum, ranging from the authoritative to the recommended participative systems. Only the first three competency clusters (efficiency and effectiveness, management control, skillful use of influence) and the CEM show a match to this theory's concept. The matches are as follows:

- Both the competency clusters and the Command Excellence Model specify a set of behaviors the leaders should use to do things better. These include extending the effort to work with subordinates and challenging the process by setting goals and performance standards, and yet encourage initiative and decisiveness.

- Both the five clusters and the Command Excellence Model emphasize task-oriented and relationship behaviors as the leaders organize and define their subordinates' roles, explain all activities involved in the command, and assign each member a certain activity, providing that well-established procedures and measures are followed to get the job accomplished. The leaders maintain personal relationships with their subordinates, keep channels of communication open, show concern for their well being and give them the needed support.

The Situational Leadership Theory (Hersey and Blanchard) examines the effectiveness of two leadership behaviors or styles. These styles are referred to as task behavior and relationship behavior, and the employment of either behavior is contingent on the readiness level of the followers. The message of this theory is to adopt a behavior of style of leadership that is responsive to changing conditions and, especially, the readiness level of the follower. The set of five competency clusters and the CEM show a lack of congruence with the concept of this theory, as they intend not to suggest any one particular leadership style or behavior, or to point out the situational factor and the appropriate behavior that follows, but to indicate specific behavioral activities that should be done, all in order to be a better than average performer.

The Contingency Theory is based on situational factors. This theory holds that the relationship between a permanent personality trait, referred to as (LPC), and leader effectiveness depends on a complex situational variable called "situational control." These in turn are measured on three situational scales: leader-member relations, task structure and position power. Simply stated, leadership must change with the situation or

the situation must change to fit the style of leadership practiced. More or less, the theory is purely situational with no behavioral categories or aspects, as the term (LPC) is not precisely defined, but is indicated to be a personality trait and not a behavior. As such, the five competency clusters and the CEM lack congruence with this theory's line of philosophy.

The Path-Goal Theory is another situationally based theory that postulates that a group member will be highly productive only if they perceive productivity as the easiest "path" to attain personal goals. Therefore, the task of the group leader is to increase the personal rewards for performance to their subordinates in order to make the paths to their goals clearer and easier. The theory asserts that subordinates' expectations and perceptions are intervening variables that are further influenced by situational factors such as the personal characteristics of subordinates, including skills, needs and motives, work environment, and the degree of task structure. In comparison with the five competency clusters and the CEM, only the second cluster (management control) and the CEM appear to match the concept of this theory in the following ways:

- The management cluster includes using rewards as a way of recognizing effective performance on a specific task, while withholding those rewards if tasks are not effectively accomplished. This is for the purpose of steering subordinates onto the path of superior performance.

- The Command Excellence Model establishes and enforces high standards of performance, striving to maintain that standard by giving continuous positive feedback, and negative feedback if needed, about members' performance in order to create a positive climate and motivate the commands' members to follow the excellent performance path and change their behavior accordingly.

Yukl's Multiple Linkage Framework is an integrated model that captures the great diversity of behavior and encompasses the major variables discussed in the other leadership theories including traits, power, behavior, situation factors, and intervening and end result variables. This model considers effects of leader behavior on subordinate performance under different situations. More importantly, it incorporates a broader range

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of more specific leadership behaviors, such as the (23) behavioral taxonomies (see Table II, p. 20).

The extent of congruence between this theory and the five competency clusters and the CEM is great, having matches occurring with the first four clusters (concern for efficiency and effectiveness, management control, skillful use of influence, and advising and counseling). The matches are as follows:

- The competency clusters and the Command Excellence Model require more specific leadership behaviors such as planning, goal setting, problem solving, emphasizing performance, taking initiative, monitoring results and delegating.

- Both the clusters and the Command Excellence Model express the importance of taking action to influence others by persuasion, and communicating up, down and across the chain of command to accomplish the tasks and maintain standards.

The Role Theory endeavors to explain the process of leader behavior and why he/she acts as they do. The major explanation lies in the leaders' perception of their role and how they perceive others, such as subordinates and superiors, expect them to behave when carrying out their role. Additionally, this perception of role requirements is further influenced by other factors including rules, regulations, policies, procedures, oral communications, environment, past experience, feedback and subordinate performance. The theory does not explicitly deal with certain effective leadership behavioral categories, nor does it address how a leader handles a conflicting role, but mainly attempts to explain the behavioral process instead. Therefore, the five competency clusters and the CEM lack congruence with the concept of this theory.

The Transactional Theory mainly refers to the transaction between leader and follower, where the leader has to provide earned benefits to subordinates in order to motivate them to accomplish an assigned task. Evidently, exchanging rewards and promises of rewards for getting work done is critically important, and the leader is advised to be responsive to the immediate self-interest of his/her subordinates. As such, only the second cluster (management control) and the CEM appear to match the concept of this theory. The matches are:

- This competency cluster and the Command Excellence Model ask the leaders to recognize what they want from their subordinates in terms of performance, and when they receive this they reward their subordinates for their effort.

- Both this cluster and the Command Excellence Model demand the leader to clarify the roles and task requirements for their subordinates and give them the appropriate feedback to enhance reaching the desired outcomes. This transactional behavior gives the subordinates the reward of sufficient confidence to exert the necessary effort.

The Transformational Theory goes beyond the model of transactional leadership and exchange theorem to engage a higher level of subordinate need and motivation, which transcends them beyond self-interest to become self-actualizing and self-reinforcing achievers. Such transformational leadership involves the use of charisma, individual consideration, and intellectual stimulation to inspire the subordinates' need for achievement and win their loyalty and commitment. This theory lacks congruence with all the five competency clusters, however, it does match the CEM in the following way:

- The Command Excellence Model calls for building esprit de corps through promoting positive regard and expectations, encouraging teamwork, caring about personnel, instilling a sense of pride in their jobs, valuing their contributions, and having confidence in their ability to excel.

Theory X and Theory Y present two types of leadership styles, autocratic and participative, where the values and beliefs a leader holds determine the leadership style he/she ascribes to. For example, a leader who has a negative stereotype of subordinates and perceives them as lazy, irresponsible, etc., tends to lead by control and coercion, while a leader who has a more positive attitude toward subordinates will adopt a participative leadership style. These theories are based on predisposed beliefs and suggests one style over another and, as such, shows no match with any of the competency clusters or the CEM.

Blade presents two different leadership styles -- directive and non-directive -- and asserts that the effectiveness of each style is contingent upon several factors relating to the leader and members such as ability, motivation, etc. Blade's ten rules for leadership discuss each factor's scenario individually and relate it to a style of leadership that may

be seen as appropriate and effective. Again, this theory deals with leadership styles as explained in terms of factors relevant to leader and member, and therefore no congruence exists between this theory and any of the competency clusters or the CEM, as these deal with specific behavioral activities and demand that all of them be done correctly as a necessity for command effectiveness.

In summary, the author's findings for the five competency clusters are as follows: the first cluster yields matches to only two theories, Likert's theory and the Multiple Linkage Framework (Yukl) theory; the second cluster yields matches to three leadership theories, Likert's theory, Path-Goal theory and Transactional theory; the third cluster yields matches to two theories, Likert's theory and Multiple Linkage Framework (Yukl) theory; the fourth cluster matches only one theory, Multiple Linkage Framework (Yukl); and finally, the fifth cluster fails to match with any of the selected theories. However, the Command Excellence Model renders a match with six theories; Likert's theory, Path-Goal theory, Multiple Linkage Framework (Yukl), Transactional theory, and Transformational theory.

The five competency clusters are mostly consistent with Likert's theory and the behavioral side of the Multiple Linkage Framework, as they are concerned with specific behaviors to motivate subordinates to reach a high performance level through employing patterns of behavior that influence their actions and positively contribute to the success of the leadership process, such as carrying out managerial principles and practices, giving support and recognition for achievement, and establishing effective and cooperative relationships. The Command Excellence Model is also related to the above, as well as the Path-Goal, Transactional and Transformational theories; this model emphasizes the central role senior officers play in shaping their command's destiny as they become ultimately responsible for the performance, actions and activities of the command as a whole. The officers/leaders in charge of a command have to extend their effort and endeavors to make the performance path clearer and smoother for all the different departments within a chain of command in order to facilitate the accomplishment of the command's overall mission. This comes through integrating the three main parts of the

model, (people, relationships, and activities) into an interrelated system that works together in harmony, excelling in performing the various required and related tasks. Therefore, the command leader promotes and maintains high standards, plans, coordinates, communicates, trains and develops subordinates, and builds esprit de corps to produce superior performance and improve the command climate and effectiveness. Results of these findings can be seen in Table X.

LEADERSHIP THEORIES	NAVY COMPETENCY CLUSTERS					COMMAND EXCELLENCE MODEL
	First Cluster	Second Cluster	Third Cluster	Fourth Cluster	Fifth Cluster	
Great Man and Trait	No	No	No	No	No	No
Rensis Likert's Theory	Yes	Yes	Yes	No	No	Yes
Situational Theory	No	No	No	No	No	No
Contingency	No	No	No	No	No	No
Path-Goal	No	No	No	No	No	Yes
Multiple Linkage Framework	Yes	Yes	Yes	Yes	No	Yes
Role Theory	No	No	No	No	No	No
Transactional Theory	No	Yes	No	No	No	Yes
Transformational Theory	No	No	No	No	No	Yes
Theory X and Y	No	No	No	No	No	No
Blade	No	No	No	No	No	No

Table X. Results of Competency Comparison

The overall result of the Navy definition of leadership and leadership training mirrored in the content of LMET/NAVLEAD in a simplified term are more or less right on the frontier of the basic idea which refers to the leadership as interpersonal processes in social groups, by which some group members attend or direct the group toward the completion of group goals. It is a process that demands a great deal of involvement and participation on the part of the leader and by effectively relating to followers to establish ties such as respect and loyalty aim at the fulfillment of organizational mission and goals. The following chapter presents the conclusions and proposed recommendations identified with those findings.

VI. CONCLUSIONS AND RECOMMENDATIONS

The conclusions here are consistent with the overall findings, but should be considered and viewed within the two following constraints:

1.   The Nature of the study is limited to the formal Navy leadership training (LMET/NAVLEAD) as they were developed by McBer & Company without regard to the changes and modifications that have taken place since that time. In addition, the source of the actual content of the LMET/NAVLEAD courses is confined to pertinent publications found in the NPS library and some materials the author received from the (CNET) in Florida. Therefore, no tangible sources are involved such as attending personally and observing the real courses in session, or surveying other officers' opinion after completion of the course in order to expose course contents as they are actually delivered.

2.   The findings are all based on a point-by-point comparison. These analysis points are subjective due to the lack of an adequate objective criteria. Therefore, the results are heavily dependent upon the author's personal judgment, interpretation, and understanding of the material and points involved.

A.   CONCLUSIONS

The purpose of this study is to reveal how the Navy defines leadership and examine and analyze the LMET/NAVLEAD program content in order to compare both the Navy's definition's of leadership and the LMET/NAVLEAD courses' content to selected theories of leadership for the sake of finding out the extent of congruence with these leadership theories. The conclusions derived from the findings in Chapter V are as follows:

- The Navy's definitions of leadership appears to be encompassing to most of the selected leadership theories. As a great extent of congruence found to be present with all three concepts of leadership theories in such who the leader is, what the leader does, and where leadership takes place.

- Those varying definitions of the concept illustrates many different aspects of leadership with emphasis on traits and personality, group processes, motivation and inducing compliance, using power and influence, persuasion and understanding, goal achievement, interactive relationship

with subordinates, and task orientation. Therefore, the definitions' wide-range coverage of many concepts goes along with the fact that leadership is multifaceted complex phenomena involving many interrelated and intrigued factors which the Navy fully comes to realize as it embraces leadership as an essential component of its operational effectiveness.

- The Navy leadership training courses (LMET/NAVLEAD) shows a much less extent of congruence with the selected leadership theories as the content of these courses only conforms with the concept of the theories of leadership that mainly deals with what the leader does, specifically the behavioral side of those theories alone. While the concepts of the theories that deal with both "who the leader is", and with "where leadership takes place" indicates a lack of congruence with the content of the courses. As the core curriculum of the LMET/NAVLEAD courses, it is focused exclusively on competency which it considers behavioral rather than trait or situation theories of leadership.

At this point, it would seem appropriate to disagree with Donald Parker when he criticized this leadership training curriculum and described it as "a theoretical and is based upon poor methodology and design." [Ref. 30:p. 213] Both methodology and design are beyond the scope of this study, however, as theoretical-base concern, the author points out in this study that the LMET/NAVLEAD courses are built around the competency notion and based on the motivational theory of David C. McClelland. Meanwhile, the comparison points' analysis discloses that the content of these courses are congruent with more than one theory of leadership, as the courses' content expands the idea of motivations and motives to include behavioral aspects and development concepts.

On the other hand, in the context of this conclusion and the findings, the author impartially agrees with Parker when he stated that "the competency approach essentially ignores the situational component, implicitly treating this variable as a "black box" for which no specific training is required. LMET's designer's include as the operative variable only competencies, which are defined as "any knowledge, skill, behavior, or thought pattern which... distinguish reliably between effective and less effective job performance.. what superior performers do more often, in more situations, for better results than average performer. Program designers presumably believe that if a person

possesses requisite skills, knowledge, and thought patterns, he will know when to employ them." [Ref. 30:p. 210]

It should be noted that the author does not intend to imply that situational aspects of leadership are not being addressed by the Navy. Indeed, it could be said that every action in the peacetime Navy, from operational exercises to daily administrative and maintenance tasks, represents an object lesson in a working classroom to the personnel involved.

It is most noteworthy to point out that it is not as difficult for the Navy to come up with comprehensive definitions and descriptions of the critical nature of leadership as it is to construct and design a training package that most effectively transfers the desirable traits and behaviors into its officers.

In summary, the overall findings and conclusions indicate clearly that the Navy's definitions of leadership are more solidly linked to the selected theories than the LMET/NAVLEAD program content.

B.   RECOMMENDATIONS

Different leadership behaviors, styles and characteristics are required in the presence of situations' multiplicities. The Navy has certainly come to recognize this fact. For example, leadership training in the Navy has come a long way, and new courses of action are taking place to improve the quality of the training and tailor it in accordance to the current job's needs and requirements. The service has to stand ready to meet the challenges of the 1990's and beyond. In this line the author proposes the following recommendations:

1.   The findings and conclusions drawn from this study are inconclusive as the whole study does not escalate to a level of a comprehensive evaluation, neither does it suffice as a substitute, but rather it warrants such study to be originated as soon as possible. It should be a comprehensive, systematic evaluation that examines the affects of leadership training and the gap between how the Navy views and defines leadership and the actual leadership training program to assess the overall effectiveness and determine the optimal content and material mix that should be included in such training. Through the entire course of this study, the author has not come across comprehensive evaluation for such training, Even the

evaluations discussed in this study are considered by their authors to be partial evaluations, thus only by properly evaluating the outcomes of this training can appropriate programs be developed to meet the changing needs and requirements of today's Navy.

2.   The aspects of the different leadership theories such as individual traits and personal characteristics, behavior, influence over others, motivating subordinates' task accomplishment, subordinate satisfaction and commitment, interactions with subordinates, awareness of situational factors, role relationship and perception of that role by others, are all reflected well in most of the Navy's definitions of leadership, yet only the behavioral aspects of leadership are emphasized in the LMET/NAVLEAD content in terms of a task-oriented approach that provides the necessary job specific behaviors and management techniques to accomplish tasks. This one narrow aspect of behavior limits the scope of leadership to an operational level. As Navy leadership keeps evolving and changing to meet the demands of the service, the author suggests that Navy leadership training content should include all the above aspects of the different leadership theories by teaching those theories and their general principles. Such steps will eliminate the gap and serve to broaden the officers' leadership perspective and understanding of the different aspects of such interacting variables that are so interrelated and important to be realized in a meaningful way that fosters leadership effectiveness. For example, the leadership training content should include the situational aspects of leadership in addition to the behavioral, and move on to incorporate the idea of leadership as a transformational process in order to produce a well trained, highly committed, confident, and self-reinforcing individuals who share leadership with the leader to empower the entire Navy system.

3.   The author finds a wealth of information about Navy leadership analysis and description. Volumes of books complete with lists of traits, examples, and quotes from famous leaders. It is of a paramount importance that this abundant wealth of leadership information and long-lasting tradition of the Navy be fully utilized and incorporated into any leadership training program development and in any evaluation of such training as well. The Navy has a unique culture that has been built around values and strong tradition. Hence it's more productive to work with and around this culture than to change it or completely ignore it. As the two Stanford University professors, James Collins and Jerry Porras in their book Built to Last contend "that America's most successful corporations don't stay successful decade after decade because of their charismatic leadership or because they were founded on some great idea. Rather because they are strong, almost cult-like organizations capable of surviving no matter who is CEO or how the market changes. In cult-like culture, employees share

such a strong vision that they know in their hearts what is right for their company." [Ref. 45:p. 129]

The author deeply believes that the Navy falls right into this category and should preserve its culture and maintain its long-standing traditions. The Naval tradition is being passed from Commanders to Captains and from Lieutenants to Ensigns. This is, in effect, the maintenance of the organizational tradition through its "cult-like" character, as mentioned above.

Improvement of leadership training cannot be accomplished by improving the content of LMET/NAVLEAD alone. Content changes must be accompanied by improvement in the training process, instructional methods, materials and other related aspects of the program. With this in mind, the author recommends the following.

4.   It is appropriate that leadership training and evaluation should take place in conjunction with other activities. When such training and evaluation takes place, however, it is imperative that leadership be treated as a valuable subject. For instance, junior officers could receive relevant leadership training *information* in briefings prior to an exercise, and subsequent reports could comment on both the display of leadership traits, behavior, and response to environment and the individual's *potential* for leadership. As recognition of differences among personnel, the current officer fitness report as shown in Figure 6 be better change to include another space next to space #42 "Leadership", for another point or category called "Leadership Potential". While at the same time make it obligatory for the evaluator not only to rank the individual against those two categories (Leadership and Leadership Potential), but to provide a detail supporting comments. This new category of "Leadership Potential" may prove to be useful in differentiating between a time being leader and a futuristic one. Also, personnel who show potential for leadership should be selected for further training and development in this field to create out of them a unique example of leadership.

By requiring the evaluating officer to note the individual's potential for leadership, the Navy would create a useful source of information for several purposes. First, empirical studies of the effectiveness of leadership training could use the commentary provided by evaluating officers as an additional indicator of successful (or inadequate) results of training. Second, the existence of an indicator could prove useful in the event of an unexpected demand for personnel to occupy positions of leadership.

Demand on the scale seen with the involvement of US forces in World War II may be a distant prospect, but the continuing and varied nature of involvement in international peacekeeping/making efforts combined with the ongoing need to maintain US security interests offers an ongoing challenge to US planners.

P1611-1

REPORT ON THE FITNESS OF OFFICERS

DOE, JOHN — GRADE: LT — DESIG: 1110 — SSN: 111-22-3333

UIC: 31405 — SHIP/STATION: NAVPGSCOL MONTEREY CA — DATE REPORTED: 93JUN22

[X] 9. PERIODIC — PERIOD OF REPORT FROM: 94MAR01 — TO: 95JAN31

[X] 14. REGULAR — [X] 18. CLOSE

EMPLOYMENT OF COMMAND: ADVANCED EDUCATION OF COMMISSIONED OFFICERS — DAYS OF COMBAT: N

REPORTING SENIOR: TRYON, M P — TITLE: DEL — GRADE: CDR — DESIG: NOB

DUTY ASSIGNED: STU -

MISSION CONTRIBUTION — EVALUATION: X (NOT OBS.)

SUMMARY

PHYSICAL READINESS: P/WS

NAVAL POSTGRADUATE SCHOOL, UIC 31405
MONTEREY, CA 93943-5100

NAVPERS 1011/1 (REV. 2-04)

COPY: [ ] SUPERS RECORD   [ ] OFFICER   [ ] REPORTING SENIOR

Figure 6. Report on the Fitness of Officers

5. The LMET/NAVLEAD courses are mostly interwoven into other technical training pipeline. Where the one week or two week period of LMET/NAVLEAD are either allotted time in the middle or at the end of such training pipelines. The inclusion of the leadership training as a part of other training pipeline create the impression among recipients that this leadership training is less important, has less weight, and there to kill time, which in turn detract their attention of giving a serious, sincere effort to learn and fully understand the materials and the theme behind it. Therefore, the Navy should place as much emphasis on leader development as the Navy places on technical development by making all the leadership training courses as a stand-alone course that has its own dedicated time. This raises the awareness of the participant, and lets each person come to enroll in the course with the inside feeling that he or she is here for this purpose alone, consequently leaders will be developed rather than trained.

6. The enabling objectives of the LMET/NAVLEAD programs should be made clearly not only to the student in the classroom, but promulgated to their commands in an effort to put their command or the command they are going to on-line with such training, and make the command involved in terms of mapping reasonable expectations and effective change in behavior they want to see in personnel after they successfully complete such course. To later-on monitor these expectations and compare them to the actual behavior of such individual after a while of his or her arrival at the unit, providing that the unit give and facilitate to such individual the ample opportunity to practice what he or she has learned. In addition, solicit the command's or the unit's opinion and feed back as a subject matter experts and ask to report any discrepancy or lack of change in behavior to the appropriate training authority such in puts are very valuable in pointing out way on how the Navy might better improve the leadership training. Ultimately, this kind of effort may reinforce the LMET/NAVLEAD competency awareness, utilization at the unit level, and encourage actual behavior change.

7. A congruent reward system for the leadership training program should be established in order to proved positive feed back to personnel on their performance of a specific task. While, at the same time officially recognize personnel for their overall accomplishments.

8. The pursuit of effective leadership is a self-development issue. Hence, the Navy should encourage individual self-improvement through self-study, reading, group discussion, forum and seminars and role playing. The objective of such efforts should be to enhance the ability to lead others as a result of conscious effort toward that goal, and also to benefit out of using

variety of techniques for training and development to assure that the full rang of skills and behavior is indeed covered. After all, the complexity of leadership demands such effort to take place.

Finally, the author would like to end this study by a quote from Admiral Jerauld Wright as follows:

Leadership is the soul of the Navy. I consider true leadership -inspired and dedicated- to be the greatest single asset we have in the Navy today, and the sometimes discouraging lack of it to be our most important problem.

Leadership, more than anything else, governs the success or failure of all our individual and collective efforts. All accomplishment begins in and flows through and from its channels.

I have heard it said that leaders are born, not made. I believe the reverse is equally true. But whether born or made, they can always be made better, made better by improvement through study and work, made better by following the examples of success. Leadership lights the way. Ignore it, and your limit is the work of your own two hands. Learn it, and your limit is the world and the sky above it. [Ref. 46:p. 106]

APPENDIX A. THE 16 COMPETENCIES

Following are the 16 fleet competencies and their working definitions:

1. SETS GOALS AND PERFORMANCE STANDARDS. Outstanding Navy leaders set goals to improve task performance and use them to assess the ongoing performance of a task, as well as the task's results.

2. TAKES INITIATIVE. When a problem is encountered, outstanding Navy leaders take initiative in defining it, accept the responsibility of acting on it, and move immediately to solve it.

3. PLANS AND ORGANIZES. Outstanding Navy leaders plan and organize tasks, people, and resources in their order of importance, and schedule the tasks for achievement of their goal.

4. OPTIMIZES USE OF RESOURCES. Outstanding Navy leaders match individuals' capabilities with job requirements to maximize task accomplishment.

5. DELEGATES. Outstanding Navy leaders use the chain of command to assign tasks by methods other than a direct order, to get subordinates to accept task responsibility.

6. MONITORS RESULTS. Outstanding Navy leaders systematically check progress on task accomplishment.

7. REWARDS. Outstanding Navy leaders recognize and reward for effective performance on a specific task.

8. DISCIPLINES. In holding subordinates accountable for work goals and Navy standards, outstanding Navy leaders appropriately discipline subordinates, in order to increase the likelihood of subordinates' improved performance.

9. SELF-CONTROL. Outstanding Navy leaders hold back an impulse and instead weigh the facts, keep a balanced perspective, and act appropriately.

10. INFLUENCES. Outstanding Navy leaders persuade people skillfully -- up, across, and down the chain of command -- to accomplish tasks and maintain the organization.

11. TEAM BUILDS. Outstanding Navy leaders promote teamwork within their work group and with other work groups.

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12. DEVELOPS SUBORDINATES. Outstanding Navy leaders spend time working with their subordinates, coaching them toward improved performance and helping them to be skillful and responsible in getting the job done at a high standard.

13. POSITIVE EXPECTATIONS. Outstanding Navy leaders trust in people's basic worth and ability to perform. They approach subordinates with a desire for the subordinates' development.

14. REALISTIC EXPECTATIONS. Although outstanding Navy leaders believe that most subordinates want to and can do a good job, they take care not to set a subordinate up for failure by expecting too much. Concern about a subordinate's shortcomings is expressed honestly.

15. UNDERSTANDS. Outstanding Navy leaders identify subordinates' problems and help them to understand these problems. Such leaders appropriately aid others in solving their problems.

16. CONCEPTUALIZES. Outstanding Navy leaders dig out the relevant facts in a complex situation and organize those facts to gain a clear understanding of the situation before acting.

Excerpted from Mansfield, 1982.

APPENDIX B. CHARACTERISTICS OF OUTSTANDING DIVISION OFFICERS

- TAKES INITIATIVE

  Is a self-starter; is not overly dependent of CPO.
  Is an advocate up the chain of command for division's functional needs.
  Takes risks to gain experience.

- FOLLOWS THROUGH

  Persists until Job is completed.
  Monitors progress.
  Is out and about work area.

- DEMONSTRATES SELF-CONFIDENCE

  Takes a stand when appropriate.
  Confronts difficult problems.
  Demonstrates "can do" attitude.
  Demonstrates confidence when dealing with seniors and peers.
  Doesn't worry about being liked.
  Is not overwhelmed by criticism.
  Acknowledges when he/she doesn't know the answer.

- SEEKS INFORMATION

  Is an active learner; uses many resources.
  Asks questions.
  Learns from own mistakes.
  Refers to studies, regulations and technical manuals.
  Learns where to find information.
  Acknowledges what he/she does not know.
  Determines facts before acting.
  Seeks information from DH and CPO when appropriate.

- PLANS

  Organizes.
  Prioritizes.
  Anticipates obstacles.
  Sets personal goals.

- MANAGES TIME EFFICIENTLY

  Balances division and warfare-qualification demands.
  Seeks ways to do tasks efficiently.
  Determines optimal amount of time to devote to tasks.

- ENFORCES HIGH STANDARDS

  Communicates Navy, command, and divisional standards to enlisted personnel.
  Personally models high standards.
  Monitors.
  Provides constructive feedback.
  Holds division accountable for meeting established standards.
  Encourages high standards through rewards and discipline.

- PROMOTES GOOD WORKING RELATIONSHIPS WITH THE CHIEF

  Sets up clear division of duties and responsibilities.
  Delegates appropriately.
  Gives and receives necessary information.
  Works with self-assurance.
  Assesses and respects Chief's level of expertise.

- DEMONSTRATES CONCERN FOR OTHERS

  Stands up for subordinates.
  Learns subordinates' capabilities.
  Makes time for subordinates.
  Listens to subordinates.
  Maintains proper DO role in dealing with subordinates.
  Resolves conflicts between realistic expectations.

- ACCEPTS RESPONSIBILITY

  Makes self accountable for division's performance.
  Demonstrates willingness to make difficult decisions and accepts the consequences.
  Represents policies passed down from above as his/her own.

- INFLUENCES

  Learns and uses idiosyncrasies of the command.
  Prepares thoroughly in order to persuade.
  Acts as advocate up the chain of command for division's needs.
  Empowers subordinates.
  Demonstrates technical credibility.
  Maintains self-control.

- COMMUNICATES

  Keeps others informed via the chain of command.
  Demonstrates clear verbal skills.
  Writes clearly and effectively.
  Uses command communication style.
  Interprets nonverbal behavior.

- PROBLEM-SOLVES

  Sizes up the key aspects of a situation.
  Identifies cause-and-effect relationships.
  Pulls facts together to determine a solution.

Excerpted from a report on the Division Officers LMET Course Revision, McBer and Company, April 1986.

APPENDIX C: DIVISION OFFICER CONTENT AND TERMINAL OBJECTIVES

Unit 1: Gaining Job Clarity

After a brief overview of NAVLEAD and of the Division Officer course, this unit will provide students with an introduction to the complex aspects of the Division Officer's job. It will also introduce some factors related to effective performance in that position.

With the unit goal of providing students with a clear picture of job expectations, the activities today will focus on the Division Officer's roles and responsibilities. A commanding Officer presentation will serve as a summary.

- *Terminal Objective*: Demonstrate an understanding of the key roles and responsibilities of an outstanding Division Officer through group discussion.

Unit 2: Managing Key Relationships

Based on the premise that Division Officers must be able to work effectively with and through other, this unit examines the nature of certain key relationships within the command. Specifically, students will be able to discuss their working relationships with the Commanding Officer, the Executive Officer, the Department Head, and the Chief.

In this unit, students will have the opportunity to interact with CO/XO during a simulation, discuss the Department Head's perspective of the DO's role, and hear first -- hand -- from a Chief or panel of Chiefs -- what the enlisted expectations are for the Division Officer.

- *Terminal Objective*: Demonstrate an understanding of the bases of power and influence strategies that can be used to build key relationships through a lecture and group discussions.

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Unit 3: Building Successful Teams

This unit designed to enhance the students' ability to contribute to successful teamwork. Earthquake exercise requires students to make critical decisions and to see the impact of those decisions on their team's survival.

In this unit, students will examine the factors that impact the team: Total Quality Leadership; stress-and-time management; and goal-setting. Strategies related to these factors are offered as ways of effectively meeting the multiple demands of the Division Officer's job.

- *Terminal Objective*: Identify factors that are required to build a successful team through lectures and group discussions.

Unit 4: Teamwork Through Leadership

This unit provides students with opportunities to study, discuss, and practice teamwork through leadership, incorporating the Navy Core Values. In addition, it offers practice in the one-on-one leadership function of counseling.

There is an opportunity to practice the formal leadership activity of giving a speech to the division. Later, students will examine some leadership styles and their impact on others. Students will be able to develop profiles of their leadership behaviors and to think about those profiles in the context of the Division Officer's job.

Finally, this unit will enable students to learn about effective counseling and how it relates to the Division Officer's job.

- *Terminal Objective*: Demonstrate an understanding of the issues related to leading a team, through lectures, exercise and group discussions.

Unit 5: Practical Applications

This final unit of the course gives students an opportunity to pull together key learning points from other units. In addition, students will make specific plans for using what they learned in this course to increase their effectiveness in the Division Officer's job.

There will be final integrating activities designed to cause students to use effective decision-making skills.

It is important to get job clarity and to consider key relationships when making decisions. This unit will enable students to prioritize those decisions.

- *Terminal Objective*: Demonstrate, through an integration exercise, an understanding of the themes of this course.

Excerpted from *NAVLEAD Basic Division Officer Navy Leader Development Program Instructor Guide*, April 1993.

APPENDIX D. LMET/NAVLEAD DEPARTMENT HEAD CONTENT AND ENABLING OBJECTIVES

Unit 1: Introduction

This unit will acquaint you with the enviornment in which you will spend the next week.

You will be presented with a background of the LMET course, i.e., LMET research, a definition of competency and the theory of social motivation around which this course is structured.

You will also be given a opportunity to voice any questions, concerns and/or expectations you may have.

Enabling Objective(s):

Given an explanation of the importance of sharing personal job experiences in meeting the training objectives of LMET, each student will interview and then introduce one other student to the class.

Unit 2: Concern for Efficiency and Effectiveness

During this unit you will be presented with conceptual material focusing on the concern for achievement, which is the underlying thought for the competencies, set goals and performance standards and take initiative. You will participate in the target practice simulation which provides self-assessment on setting goals and performance standards. You will be introduced to a systematic way of thinking called achievement thinking, and you will identify examples of achievement thinking in a case study. You will then write an account of a job-related situation in which you will demonstrate achievement thinking.

You will view a film on time management and self-assess your ability to manage your time using the time management self-assessment questionaire. You will be presented a lecture on goal setting and action planning after which you will srite and evaluate your own goals.

You will be presented a lecture on goal setting and action planning; then you will write and evaluate your own goals. Finally, you will be presented a lecture on two

techniques used for goal setting and action planning; you will use these techniques in this unit and throughout the course to address specific, job-related issues and problems.

Enabling Objectives:

Have a better understanding of how goal setting techniques will enable them to achieve combat readiness and mission accomplishment.

Be able to set and write goals and action plans that will assist them as Division Officers.

Be able to identify behavioral indicators of the competencies in the concern for efficiency and effectiveness competency cluster and be able to apply them to a job-related situation in a class discussion.

Unit 3: Management Control

This unit provides an intensive coverage of the six competencies in the management control competency cluster. The competencies in the prior unit, concern for efficiency and effectiveness, cocus on DO's individual performance. In contrast, management control competencies represent the bahaviors necessary to manage the performance of others toward efficient and effective outcomes.

During this unit, you will receive a thorough conceptual orientation to the competencies as well as opportunities for discussion, self-assessment, and practice in the six management control competencies:

- Plans and organizes
- Optimizes use of resources
- Delegates
- Monitors results
- Rewards
- Disciplines

Enabling objectives:

Using the stress questionaire and the film, <u>Time of Your Life</u>, the student will; in a class discussion be able to:

- Recognize symtoms of stress in themselves and others;

- Identify sources of stress in a DO's job;

- Recognize the need for self-control in stressful situations; and

- Discuss strategies for managing stress, particularly effective time management and self-control techniques.

Unit 4: Skillful Use of Influence

Unit 4 provides you the conceptual background needed to understand the competencies of the skillful use of influence cluster. Case studies, a videotape, group discussions, exercises, and individual assignments provide the opportunity for recognition, understanding, self-assessment, and practice for each competency.

In this unit, you are present with conceptual material focusing on the concern for influence and self-control, the thought patterns underlying this competency cluster. The thoughts and behaviors of persons high in the need for power are discussed; alternative ways of using power are contrasted.

After a lecture and self-assessment on maintaining and regaining self-control, you are presented material on influence strategies. You are asked to determine the network of people you influence and people who influence you. You are given an opportunity to practice influencing those above you in the chain of command.

The concepts of managerial style and situational leadership are investigated. The concepts and the competency team builds, are used in the LANACOMMCOM exercise. You are asked to prepare and deliver an oral presentation on the subject of developing subordinates. The final concept of the unit, organizational climate, is the subject of a videotape discussion and exercise.

This unit concludes with a complex exercise that encourages the use fo the twelve competencies of the first three cluster.

Enabling objectives:

In a class discussion, identify the performance indicators of the competencies of the skillful use of influence competency cluster and apply them to a job-related situation.

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Unit 5: Advising and Counseling

The competencies in the advising and counseling cluster are important to you. If you are effectivee at advising and counseling subordinates, you will find that you can:

Increase subordinate commitment to performance improvement and at the same time increase morale by building trust;

Solve personal problems that are affecting job performance more quickly by dealing with them within the command; and

Save the time and energy of the limited number of professional couselors for truly serious problems.

For these reasons, it is necessary that you be able to use skillfuljly the techniques that enable you to deal effectively with different advising and couseling situations. It is also essential to know what situations call for referral and what Navy helping resources are available to you and to the couselee.

To provide a common reference, advising and couseling may be defined as follows:

Advising helps individuals initiate action to correct a problem by providing them with information about procedures, opportunities, or alternatives for action.

Couseling helps individuals explore, better understand, and possibly find solutions for a problem. The manager's role is to encourage the individual seeking help to create alternatives and to initiate problem-solving action of his or her own.

Enabling objectives:

Demonstrate an understanding of the two approaches, the six steps, the three stages and the four conditions of counseling and relate them to the five couseling techniques in a class discussion.

Relate the counseling stages, conditions and techniques to the behavioral indicators of the couseling competencies.

Unit 6: Applying concepts to job situations

Conceptualization is a skill all people use, but some use it more effectively than others. It is the ability to look at a situation, identify what is going on, sort through the facts, then draw a conclusion about an effective course of action. It is a skill you use

when you analyze a case, selected a messege center superviosr for LANACOMMCOM, and constructed paper target sleds in target sled simulation. It is also the skill that is used when a mission must be accomplished despit a slim budget, contrary weather, and schedule changes. It is the competency that you, as a manager, use when drafting briefings and making presentations to a Department Head or an Executive Officer.

Enabling objectives:

The student, with the help of the other participants, will analyze an extended case study and devise an action plan to remedy the problems presented in that case study providing an opportunity to recognize, understand, self-assess, and obtain skill practice in the conceptualizes competency.

Excerpted from *Advanced Division Officer Course Student Journal NAVEDTRA 38042-A,* no date.

APPENDIX E. COMMAND EXCELLENCE CHARACTERISTICS.

PEOPLE

- **CO Characteristics**

  Targets Key Issues
  Gets Crew to Support Command Philosophy
  Develops XO
  Staffs to Optimize Performance
  Gets Out and About
  Builds Esprit de Corps
  Keeps His Cool
  Develops Strong Wardroom
  Values Chiefs Quarters
  Ensures Training is Effective
  Builds Positive External Relationships
  Influences Successfully

- **XO Characteristics**

  Drives Administrative System
  Is active in Planning
  Is Key to Unit Staffing
  Gets Out and About
  Ensures Standards are Enforced

- **Wardroom Characteristics**

  Is Cohesive
  Matches XO-CO Leadership
  Raises Concerns with CO and XO
  Takes Initiative
  Does Detailed Planning
  Takes Responsibility for Work-Group Performance
  Chiefs Quarters Characteristics
  Acts for Command-wide Effectiveness
  Leads Divisions Actively
  Enforces Standards
  Supports and Develops Division Officers
  Is Cohesive
  Has a Strong Leader

- **Crew Characteristics**

  Committed to Command Goals
  Lives Up to Standards
  Respects the Chain of Command
  Takes Ownership for Their Work Areas
  Is Motivated
  Works as a Team

RELATIONSHIPS

- **CO-XO Relationship**

  CO is in Charge
  XO Stands Behind CO's Philosophy and Policies
  CO and XO Have Well-defined and Complementary Roles
  CO and XO Communicate Frequently
  CO and XO Respect Each Other's Abilities

- **Chain of Command**

  The Chain of Command is Respected But Flexible
  Information Flows Up and Down the Chain of Command
  Responsibility is Delegated

- **External Relationships**

  Command Builds Networks with Outsiders
  Command Advocates for Its Interests with Outsiders
  Command Promotes a Positive Image

ACTIVITIES

- **Planning**

  Planning is a Regularly Scheduled Activity
  Planning Occurs at All Levels
  Planning is Long-range
  Plans are Specific
  Plans are Publicized
  Systems are Put in Place to Implement Plans
  Command Makes Every Effort to Stick to the Plan

- **Maintaining Standards**

  Standards are Clear and Consistent
  Standards are Realistic and High

Standards are Continuously Monitored
Positive and Negative Feedback is Frequently Given
Performance Problems are Handled Quickly and Appropriately
All Levels Participate in Enforcing Standards

- **Communicating**

  Communication Occurs Frequently
  People Listen to Each Other
  Explanations are Given Often
  Communication Flows Up, Down, and Across the Chain of Command
  Officers and Chiefs Get Out and About
  Personal Issues Are Discussed
  Building Esprit de Corps
  Positive Regard and Expectations Occur at All Levels
  Teamwork is Promoted
  Morale is Monitored
  Rewards and Recognition are Given Frequently
  Command Integrates Incoming Crew Quickly
  Command Focuses on Successes
  Command Encourages Social Activities and Having Fun
  Symbolic Activities Used to Promote Esprit de Corps

- **Training and Development**

  Value of Training is Recognized
  Training is Kept Realistic and Practical
  Training Programs are Monitored and Evaluated
  All Levels Participate in Training and Development
  Command Emphasizes Professional Development and Career Planning

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Excerpted from *Charting the Course to Command Excellence*, McBer and
Company, 1989.

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